

State of Hawaii
Department of Education
Office of Curriculum, Instruction and Student Support
School Based Behavioral Health Services Section

Request for Proposals

RFP No. EDN 150-2006-03 Intensive Services

October 12, 2004

Note: If this RFP was downloaded from the State Procurement Office RFP Website each applicant must provide contact information to the RFP contact person for this RFP to be notified of any changes. For your convenience, an [RFP Interest form](#) may be downloaded to your computer, completed and e-mailed or mailed to the RFP contact person. The State shall not be responsible for any missing addenda, attachments or other information regarding the RFP if a proposal is submitted from an incomplete RFP.

October 12, 2004

REQUEST FOR PROPOSALS

INTENSIVE SERVICES RFP No. EDN 150-2006-03

The Department of Education, School Based Behavioral Health Services Section, is requesting proposals from qualified applicants to provide intensive instructional support services to eligible students in need of such services. Services should combine educational, behavioral health and therapeutic approaches in providing time limited interventions designed to assist students to effectively participate in school based educational activities. The contract term will be from July 1, 2005 – June 30, 2006. Multiple contracts may be awarded under this request for proposals.

Proposals must be postmarked by US mail before midnight on January 14, 2005 or hand delivered by 4:00 p.m., Hawaii Standard Time (H.S.T.) at the drop off site designated on the following page.

Proposals postmarked after midnight on January 14, 2005 or hand delivered after 4:00 p.m., H.S.T. on January 14, 2005 will not be considered and will be returned to the applicant. There are no exceptions to this requirement.

The Department of Education will conduct an orientation on October 26, 2004 from 10:50 a.m. to 12:30 p.m. H.S.T., at Tokai University, 2241 Kapiolani Boulevard, Honolulu, Hawaii. All prospective applicants are encouraged to attend the orientation.

The deadline for submission of written questions is 4:00 p.m. H.S.T. on November 3, 2004. All written questions will receive a written response from the State on or about November 12, 2004.

Inquiries regarding this RFP should be directed to the RFP Contact Person, Ms. Marilyn Jakeway, at 641 18th Avenue, Room V-102, Honolulu, Hawaii 96816, or may be made by telephone to (808) 735-8250 x256.

PROPOSAL MAIL-IN AND DELIVERY INFORMATION SHEET

ALL MAIL-INS MUST BE POSTMARKED BY USPS BEFORE 12:00 MIDNIGHT,

**ONE ORIGINAL AND EIGHT COPIES OF THE PROPOSAL ARE REQUIRED.
ADDITIONAL COPIES MAY BE SPECIFIED BY INDIVIDUAL DOE PROGRAMS.**

January 14, 2005

All Mail-ins

Department of Education
School Based Behavioral Health Services
1106 Koko Head Avenue
Honolulu, Hawaii 96816

DOE RFP COORDINATOR

Ms. Marilyn Jakeway
Acting State Educational Specialist (Autism)
For further info. or inquiries
Phone: (808) 735-8250, x256
Fax: (808) 735-6228

**ALL HAND DELIVERIES WILL BE ACCEPTED AT THE FOLLOWING SITES UNTIL 4:00 P.M.,
January 14, 2005.**

Drop-off Sites

For ALL applicants STATEWIDE:

Department of Education
School Based Behavioral Health Services
1106 Koko Head Avenue
Honolulu, Hawaii 96816

BE ADVISED: All mail-ins postmarked USPS after 12:00 midnight, January 14, 2005, will not be accepted for review and will be returned.

Hand deliveries will not be accepted after 4:00 p.m., January 14, 2005.

Deliveries by private mail services such as Fedex shall be considered hand deliveries and will not be accepted if received after 4:00 p.m., January 14, 2005.

Section 1 Administrative Overview

Applicants are encouraged to read each section of the RFP thoroughly. While sections such as the administrative overview may appear similar among RFPs, state purchasing agencies may add additional information as applicable. It is the responsibility of the applicant to understand the requirements of *each* RFP.

I. Authority

This RFP is issued under the provisions of the Hawaii Revised Statutes, Chapter 103F and its administrative rules. All prospective applicants are charged with presumptive knowledge of all requirements of the cited authorities. Submission of a valid executed proposal by any prospective applicant shall constitute admission of such knowledge on the part of such prospective applicant.

II. RFP Organization

This RFP is organized into five sections:

Section 1, Administrative Overview--Provides applicants with an overview of the procurement process.

Section 2, Service Specifications--Provides applicants with a general description of the tasks to be performed, delineates applicant responsibilities, and defines deliverables (as applicable).

Section 3, POS Proposal Application Instructions--Describes the required format and content for the proposal application.

Section 4, Proposal Evaluation--Describes how proposals will be evaluated by the Department of Education (DOE).

Section 5, Attachments --Provides applicants with information and forms necessary to complete the application.

III. Contracting Office

The Contracting Office is responsible for overseeing the contract(s) resulting from this RFP, including system operations, fiscal agent operations, and monitoring and assessing provider performance. The Contracting Office is:

Ms. Marilyn Jakeway, Acting State Educational Specialist (Autism)
 Department of Education, Special Education Services Branch
 641 18th Avenue, Room V-102
 Honolulu, Hawaii 96816
 Phone: (808) 735-8250 x256 Fax: (808) 735-6228

IV. Procurement Timetable

Activity	Scheduled Date
Public notice announcing RFP	10/12/04
Distribution of RFP	10/12/04
RFP orientation session	10/26/04
Closing date for submission of written questions for written responses	11/03/04
State purchasing agency's response to applicants' written questions	11/12/04
Proposal submittal deadline	01/14/05
Proposal evaluation period	01/18/05 – 03/18/05
Provider selection and award	03/25/05
Notice of statement of findings and decisions	03/31/05
Contract start date	07/01/05

V. Orientation

An orientation for applicants in reference to the request for proposals will be held for *all islands* on October 26, 2004 from 10:50 a.m. to 12:30 p.m. at Tokai University, 2241 Kapiolani Boulevard, Honolulu, Hawaii.

Applicants are encouraged to submit written questions prior to the orientation. Questions may be faxed to the SBBH Contracts Office at (808) 735-8267 or emailed to Andrell_Beppu@notes.k12.hi.us. Impromptu questions will be permitted and spontaneous answers provided at the orientation at the Department of Education's discretion. Verbal answers provided at the orientation are only intended as general direction and may not represent the DOE's position. Formal official responses will be provided in writing. To ensure a written response, any oral questions should be submitted in writing following the close of the orientation, but no later than the submittal deadline for written questions indicated in the next paragraph (VI. Submission of Questions) in order to generate a written DOE response.

VI. Submission of Questions

Applicants may submit questions to the RFP Contact Person identified in Section 2 of this RFP. The deadline for submission of written questions is 4:00 p.m. H.S.T., on November 3, 2004. All written questions will receive a written response from the state purchasing agency. The DOE's response to applicant written questions will be posted on the website at: http://doe.k12.hi.us/rfp_sbbhs/.

VII. Submission of Proposals

Proposals must contain all components. Please refer to the Competitive POS Application Checklist (Section 5, Attachment A) for information on: 1) where to obtain the forms/instructions; 2) additional program specific requirements; and 3) the order in which all components of the application should be assembled and submitted to the DOE. Proposals must contain the following components:

- (1) ***POS Proposal Application (Form SPO-H-200A), including Title Page (Form SPO-H-200) and Table of Contents*** - Applicant shall submit comprehensive narratives that addresses all of the issues contained in the POS Proposal Application Instructions, including a cost proposal/budget. (Refer to Section 3 of this RFP.)
- (2) ***Competitive POS Application Check List*** – Provides applicants with information on where to obtain the required forms; information on program specific requirements; and the order in which all components should be assembled and submitted to the state purchasing agency.
- (3) ***Registration Form (SPO-H-100A)*** – If applicant is not pre-registered with the State Procurement Office (business status), this form must be submitted with the application. If applicant is unsure as to their pre-registration status, they may check the State Procurement Office website at:
<http://www.spo.hawaii.gov>
Click on *Procurement of Health and Human Services*
Click on *Provider Lists...The Registered List of Private Providers for Use with the Competitive Method of Procurement*
or call the purchasing agency at (808) 735-8264 or the State Procurement Office at (808) 587-4706.
- (4) ***SPO Cost Proposal (Budget) Forms (Forms SPO-H-205 through SPO-H-206J)***
- (5) ***Certifications*** - Federal and/or State certifications, as applicable.
- (6) ***Program Specific Requirements*** - Additional program specific requirements are included in Sections 2 and/or 3, Service Specifications and the POS Proposal Application, as applicable.

- (7) ***Wages and Labor Law Compliance*** - Before a provider enters into a service contract in excess of \$25,000, the provider shall certify that it complies with section 103-55, HRS, Wages, hours, and working conditions of employees of contractors performing services. Section 103-55, HRS may be obtained from the Hawaii State Legislature website at <http://www.capitol.hawaii.gov/>. Or go directly to: http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/.
- (8) ***Confidential Information*** – If an applicant believes any portion of a proposal contains information that should be withheld as confidential, the applicant shall request in writing nondisclosure of designated proprietary data to be confidential and provide justification to support confidentiality. Such data shall accompany the proposal, be clearly marked, and shall be readily separable from the proposal to facilitate eventual public inspection of the non-confidential sections of the proposal. **Note that price is not considered confidential and will not be withheld.**

Multiple or alternate proposals shall **not** be accepted unless specifically provided for in Section 2 of this RFP. In the event alternate proposals are **not** accepted and an applicant submits alternate proposals but clearly indicates a primary proposal, it shall be considered for award as though it were the only proposal submitted by the applicant.

One original and 8 copies of the proposal are required. Proposals must be postmarked or hand delivered by the date and time designated on the Proposal Mail-In and Delivery Information Sheet attached to this RFP. Any proposal post-marked or received after the designated date and time shall be rejected. Faxed proposals, submission of proposals on diskettes, or transmission by email are not permitted.

VIII. Discussions with Applicants Prior to, or After Proposal Submittal Deadline

Discussions may be conducted with applicants who submit proposals determined to be reasonably susceptible of being selected for award, but proposals may be accepted without discussions, in accordance with the administrative rules.

IX. Additional Materials and Documentation

Upon request from the Department of Education, each applicant shall submit any additional materials and documentation reasonably required by the DOE in its evaluation of the proposals.

X. RFP Amendments

The State reserves the right to amend this RFP at any time prior to the closing date for the final revised proposals.

XI. Final Revised Proposals

The applicant's final revised proposal, *as applicable* to this RFP, must be postmarked or hand delivered by the date and time specified by the DOE. Any final revised proposal post-marked or received after the designated date and time will be rejected. If a final revised proposal is not submitted, the previous submittal will be construed as their best and final offer/proposal. *Only the section(s) of the proposal that are amended shall be submitted by the applicant, along with the POS Proposal Application Title Page (SPO-H-200).* After final revised proposals are received, final evaluations will be conducted for an award.

XII. Cancellation of Request for Proposal

The request for proposal may be canceled and any or all proposals may be rejected in whole or in part, when it is determined to be in the best interests of the State.

XIII. Costs for Proposal Preparation

Any costs incurred by applicants in preparing or submitting a proposal are the applicants' sole responsibility.

XIV. Provider Participation in Planning

Provider participation in the Department of Education's efforts to plan for or to purchase health and human services prior to DOE's release of a request for proposals, including the sharing of information on community needs, best practices, and providers' resources, shall not disqualify providers from submitting proposals if conducted in accordance with sections 3-142-203 and 3-143-618 of the Hawaii Administrative Rules for Chapter 103F, HRS.

XV. Rejection of Proposals

The State reserves the right to consider as acceptable only those proposals submitted in accordance with all requirements set forth in this RFP and which demonstrate an understanding of the problems involved and comply with the service specifications. Any proposal offering any other set of terms and conditions contradictory to those included in this RFP may be rejected without further notice.

A proposal may be automatically rejected for any one or more of the following reasons: (Relevant sections of the Hawaii Administrative Rules for Chapter 103F, HRS are parenthesized)

- (1) Rejection for failure to cooperate or deal in good faith. (Section 3-141-201)
- (2) Rejection for inadequate accounting system. (Section 3-141-202)

- (3) Late proposals. (Section 3-143-603)
- (4) Inadequate response to request for proposals. (Section 3-143-609)
- (5) Proposal not responsive. (Section 3-143-610 (1))
- (6) Applicant not responsible. (Section 3-143-610 (2))

XVI. Opening of Proposals

Upon receipt of proposal by a state purchasing agency at a designated location, proposals, modifications to proposals, and withdrawals of proposals shall be date-stamped and, when possible, time-stamped. All documents so received shall be held in a secure place by the state purchasing agency and not examined for evaluation purposes until the submittal deadline.

Procurement files shall be open to public inspection after a contract has been awarded and executed by all parties.

XVII. Notice of Award

A statement of findings and decisions shall be provided to all applicants by mail upon completion of the evaluation of competitive purchase of service proposals.

Any agreement arising out of this solicitation is subject to the approval of the Department of the Attorney General as to form, and to all further approvals, including the approval of the Governor, required by statute, regulation, rule, order or other directive.

No work is to be undertaken by the awardee prior to the contract commencement date. The State of Hawaii is not liable for any costs incurred prior to the official starting date. .

XVIII. Protests

Any applicant may file a protest (using a prescribed form provided by the administrator of the State Procurement Office available on the State Procurement Office Website whose address is on the Competitive POS Application Checklist located in the Attachments section of this RFP) against the awarding of the contract as long as an original and two copies of the protest is served upon the head of the state purchasing agency that conducted the protested procurement, and the procurement officer who handled the protested procurement, by United States mail, or by hand-delivery. A Notice of Protest regarding an award of contract and related matters that arise in connection with a procurement made under a competitive purchase of services shall be served within five working days of the postmark of the notice of findings and decision sent to the protester. The Notice of Protest form, SPO-H-801, is available on the SPO website (see the POS Proposal Checklist in Section 5 of this RFP). Only the following matters may be protested:

- (1) A state purchasing agency's failure to follow procedures established by Chapter 103F of the Hawaii Revised Statutes;
- (2) A state purchasing agency's failure to follow any rule established by Chapter 103F of the Hawaii Revised Statutes; and
- (3) A state purchasing agency's failure to follow any procedure, requirement, or evaluation criterion in a request for proposals issued by the state purchasing agency.

Head of State Purchasing Agency	Procurement Officer
Name: Patricia Hamamoto	Name: Marilyn Jakeway
Title: Superintendent	Title: Program Manager, Autism
Mailing Address: P.O. Box 2360 Honolulu, Hawaii 96804	Mailing Address: 641 18 th Avenue, Room V-102 Honolulu, Hawaii 96816
Business Address: 1390 Miller Street Honolulu, Hawaii 96813	Business Address: same as above

XIX. Availability of Funds

The award of a contract and any allowed renewal or extension thereof, is subject to allotments to be made by the Director of Finance, State of Hawaii, pursuant to Chapter 37, Hawaii Revised Statutes, and subject to the availability of State and/or Federal funds.

XX. Criteria by Which the Performance of the Contract Will be Monitored and Evaluated

The criteria by which the performance of the contract will be monitored and evaluated are:

- (1) Performance/Outcome Measures
- (2) Output Measures
- (3) Quality of Care/Quality of Services
- (4) Financial Management
- (5) Administrative Requirements

XXI. General and Special Conditions of Contract

The general conditions that will be imposed contractually are on the SPO website (see the POS Proposal Application Checklist in Section 5 of this RFP for the address). Special conditions may also be imposed contractually by the Department of Education, as deemed necessary.

XXII. Cost Principles

In order to promote uniform purchasing practices among state purchasing agencies procuring health and human services under Chapter 103F, HRS, state purchasing agencies will utilize standard cost principles outlined in Form SPO-H-201 which is available on the SPO Website (see the POS Proposal Application Checklist in Section 5 of this RFP). Nothing in this section shall be construed to create an exemption from any cost principle arising under federal law.

Section 2

Service Specifications

I. Introduction

A. Overview, Purpose or Need

The Hawaii Department of Education (DOE) administers the statewide system of public schools. The scope of educational programs and services of the public schools encompasses grades kindergarten through twelve, and such pre-school programs and community/adult education curricula as may be authorized. In addition to regular programs of instruction and support services, the Department offers special programs and services for students who are disabled, gifted, learning English as a second language, economically and culturally disadvantaged, school-alienated, or institutionally confined. Applicable Federal and State statutes and regulations govern the provision of some behavioral health services (i.e., 34 C.F.R. Section 300 and Hawaii Administrative Rules Chapter 56).

In accordance with the Individuals with Disabilities Education Act (IDEA), the Department strives to provide an integrated educational model for students with educational disabilities to realize reasonable benefit from their education.

The purpose of this Request for Proposal (RFP) is to solicit private providers to provide intensive instructional support services to eligible students in need of such services through the school based behavioral health and educational models within the Comprehensive Student Support System (CSSS). The DOE anticipates the need to develop contracts to augment DOE school-based services for students who are exhibiting a combination of severe social, communication and behavioral deficits. For the purposes of this RFP, severe is defined as two or more standard deviations below the mean on standardized instruments that are designed to assess social, communication and behavior. Services provided will consist of a variety of support services when services existing within the DOE are found insufficient to meet the needs of students while the internal capacity of the DOE is being developed. These services will be provided through an integrated educational model. The educational model assumes that all behaviors are functional and most behaviors are learned. Therefore, program supports and services focus on the context within which students learn new capacities and skills as well as the student's internal learning resources and needs.

The CSSS educational model is a strengths-based, multidisciplinary team decision-making model focusing on learning and development. It is based upon the understanding that an individual's capacity to meet expectations is the result of unique inherent characteristics and previous learning opportunities. It promotes the early identification of new learning opportunities to further increase the social, communication and behavioral repertoire of students. Important educational and pro-social skill acquisition is achieved through the application developmentally

appropriate instruction within contexts that will promote generalization of skills. The CSSS model emphasizes supporting students at a level that most effectively promotes independence and learning in the least restrictive environment.

Applicants who meet all requirements based on the criteria listed in Section 4-Evaluation-- shall be qualified to enter into a contract with the DOE. Qualified applicants will be placed on the DOE's Qualified Provider List and will be eligible to enter into a contract with DOE under this RFP. Thereafter, the school districts may select and authorize services from contracted provider(s) best suited to provide the service(s). The State will evaluate all proposals and select and award contracts determined to be the most advantageous as delineated further in Section 4 – Evaluation.

At the present time, the Department does not participate in Medicaid reimbursement activities. A change in this status is not anticipated prior to July 2005. At that time, however, the Department may engage in activities to support DOE requests for Medicaid reimbursement of the provision of services identified in this RFP for eligible students. If the Department participates in Medicaid reimbursement for eligible students, DOE will require verification of licensure subject to the terms of this RFP in context of Medicaid reimbursable activities. This requirement will not supersede the provider credentials required in the service activities. Agencies awarded a contract under this RFP will be subject to administrative claiming for all eligible services regardless of licensure, and will be expected to participate in time studies by DOE or their agent(s) three times a year, or more frequently if required. All services under this RFP will be subject to Medicaid audit.

B. Description of the goals of the service

Educational services for students such as those exhibiting a combination of severe social, communication, and behavioral deficits are provided by the DOE CSSS. As part of an integrated programmatic approach, these services are designed to provide the personalized support necessary to assist students to successfully engage in standards-based educational opportunities through overcoming individual barriers to learning. The primary goal is to remove barriers to learning through the provision of intensive instructional supports and services for students exhibiting a combination of severe social, communication and behavioral deficits that are significantly limiting their ability to access the general education curriculum. Such supports and services emphasize the development of skills necessary to meet the social, communicative and behavioral demands of the learning and school community environment. Provision of services is intended to enable the student to meet his/her annual goals and objectives on the student's Individualized Educational Program (IEP).

The purpose of this RFP is to supply instructional support services to students while the DOE is building system capacity. It is expected that these services will

be time limited educational interventions designed to assist the student to be able to participate effectively in school-based educational activities. The services should seek to foster independence and enhance the student's ability to make progress on IEP goals and objectives. Services provided are to be integrated with current DOE comprehensive student support system and school-based supports and services. Procured services will be provided in order to ensure timely and appropriate access to a full array of educational resources. Service plans will be developed collaboratively to assure services provided are accountable, cost effective, performance-based and result in outcomes that are measurable. *This service is not intended to supplant non-educational services the student or family may access (i.e., respite care, personal assistance care or other community resources).*

C. Description of the target population to be served

Students who are eligible for the services described in this RFP must meet the following criteria:

1. The student has a disability described in HAR Section 8-56-16 to section 8-56-29;
2. The student needs special education and related services because of the disability described in paragraph one (1);
3. The student resides in the State and comes within the following age range (a) at least three years of age and (b) under 20 on the first instructional day of the school year set forth by the Department of Education; and
4. The student is currently exhibiting severe social, communication and behavioral deficits.

Within Hawaii, approximately 1035 students currently require such services. A significant reduction in this number is not anticipated between the release of this RFP and June 30, 2005. Identification of students in this class is ongoing and is expected to increase based on local and national identification trend analysis. However, as the DOE builds capacity to provide this service, the need for contracting for this service may decrease.

D. Geographic coverage of service

The services are sought across the state. Refer to Section 3 POS Proposal Applications for specific requirements in submitting proposals by district(s) and/or complex(es).

E. Probable funding amounts, source, and period of availability

It is expected that State funds will be used to support these services. The current general fund appropriation for school based services approximates \$22 million.

Increased funding may be available subject to the availability of funds. It is expected that funding of at least this current level would be allocated for this contract period.

II. General Requirements**A. Specific qualifications or requirements, including but not limited to licensure or accreditation**

The applicant shall comply with the Chapter 103F, HRS Cost Principles for Purchases of Health and Human Services identified in SPO-H-201 (Effective 10/1/98), which can be found on the SPO website

<http://www.spo.hawaii.gov>

Click on *Procurement of Health and Human Services*

Click on *For Private Providers*

Click on *Forms*

Click on *Budget Application Forms for Requests for Proposals*

Applicant must hold an appropriate certification or license to practice independently, for those activities restricted by licensure laws, or ensure and demonstrate the availability of appropriate supervision.

B. Secondary purchaser participation

(Refer to §3-143-608, HAR)

☒ Allowed ☐ Unallowed

C. Multiple or alternate proposals

(Refer to §3-143-605, HAR)

☐ Allowed ☒ Unallowed

D. Single or multiple contracts to be awarded

(Refer to §3-143-206, HAR)

☐ Single ☐ Multiple ☒ Single & Multiple

E. Single or multi-term contracts to be awarded

(Refer to §3-149-302, HAR)

☒ Single term (< 2 yrs.) ☐ Multi-term (> 2 yrs.)

Contract terms:

Contracts will be awarded for a one (1) year period, with the possibility of up to an additional one (1) year extension upon the execution of a Supplemental Agreement. The contract extension will be contingent upon potential changes to DOE's approach to service delivery.

F. RFP Contact Person

The individual listed below is the sole point of contact from the date of release of this RFP until the selection of the winning provider or providers. Written questions should be submitted to the RFP contact person and received on or before the day and time specified in Section I, Item IV (Procurement Timetable) of this RFP.

Ms. Marilyn Jakeway, Acting State Educational Specialist (Autism)
Department of Education, Special Education Services Branch
641 18th Avenue, Room V-102
Honolulu, Hawaii 96816
Phone: (808) 735-8250 x256 Fax: (808) 735-6228

III. Scope of Work

The scope of work encompasses the following tasks and responsibilities:

A. Service Activities (Minimum and/or mandatory tasks and responsibilities)

This RFP is seeking the following responses:

- Intensive Instructional Service Classroom Consultation;
- Intensive Instructional Service Consultant
 - Lead and Direct a Paraprofessional (Individual Student Support);
- Intensive Instructional Service Consultant
 - Lead and Direct a Paraprofessional (Group);
- Skills Training Individual;
- Skills Training Group;
- Parent Education/Training;
- Educational Team Planning and Participation; and
- Court/Due Process Hearing Testimony.

The details of each service are listed below in Section B – Work Activities. Any response must respond for all of the services contained in this RFP. A response that omits any one of these services will not be considered and will be rejected as unresponsive. Responses to this RFP may also be awarded contracts for other outsourced services. There is no restriction prohibiting providing assessments and direct services in the same district.

Applicants responding to provide these services must adhere to the following provisions for any service activity:

- Provide time-limited services based on an evidence based educational model conducive to success in meeting academic and/or social goals and objectives in the IEP and Hawaii Content and Performance Standards II.
- Provide appropriate transitioning among providers or as contracted services are no longer needed by the DOE to DOE personnel. Transitioning among providers should include discussion of the student's current level of functioning on IEP goals being worked on, progress on the implementation of the service plan, discussion of student's strengths and weaknesses, and demonstration of instructional strategies that have proven to be effective with the student.
- Provide to the school a written service plan.
- Provide written quarterly progress summary reports to the home school, utilizing the prescribed DOE format. See Section 5, Attachment C. Quarterly is defined in terms of the school year. The report must be submitted to the IEP Care Coordinator two weeks before the end of the quarter. Also, a report is due to the IEP Care Coordinator at the end of each ESY period for students who are eligible for this service during the ESY period. This will be subject to the use of ISPED, or another designated reporting system specified by the DOE. In the event ISPED is amended or unavailable, the provider shall use the data system specified, or alternatively, DOE may authorize substitution of hard copy reporting utilizing a designated format. In the event a paper system is instituted, the same timelines for reports shall apply.
- Provide services according to time and frequency parameters specified by the DOE and not to exceed the time or units authorized. In addition, provide services in a timely manner, e.g., do not provide all authorized contract hours for the month in a few sessions at the end of the month, unless such an arrangement is specified within the IEP.
- Provide services at the student's school, or at a site identified by the IEP Team as best suited to address IEP goals and objectives, in consultation with the provider.
- Sign in at the school office when entering a school campus, and sign out when leaving a school campus. The Service Verification form must be completed and submitted on a monthly basis to the IEP Care Coordinator. See Section 5, Attachment D.
- Wear appropriate identification when visiting a school campus.
- Maintain appropriate levels of contact (as specified per service) with families and school staff.
- Make contact with the school staff within one week of procurement and be able to initiate service within two weeks of procurement.
- Demonstrate capability to provide timely scheduling of appointments, processing of documents, and participation in conference meetings.
- Demonstrate competency in the services to be provided, including specific competencies related to the educational implications of severe social, communication and behavioral deficits.

- All contract providers and agency staff members providing direct services must have attended, and have documentation to the effect that he or she has completed at least forty (40) hours of annual professional development. Such professional development must be directly related to his or her work responsibilities, and be completed **before** beginning service delivery.
 - Within the required forty hours of professional development, all contract providers and agency staff members must have at least thirty (30) hours of basic training including, but not limited to, crisis field assessment and intervention, suicide assessment, risk assessment, clinical protocols, documentation, and knowledge of community resources, as well as training regarding court processes and legal documents relative to emergency procedures, plus specific legal issues governing informed consents. Such basic training must be completed prior to performing crisis outreach services.
- All contract providers and agency staff members providing direct services must also receive information and training regarding the following topics:
 - IDEA and HAR Chapter 56 requirements, including procedures and eligibility criteria;
 - Family Educational Rights and Privacy Act and HAR Chapter 36 requirements;
 - HAR Chapter 19 procedures and requirements;
 - State laws regarding child abuse and neglect reporting, reporting criminal behavior and threats regarding suicide and homicide;
 - Crisis intervention procedures, including suicide precautions;
 - A review of the Hawaii CASSP principles;
 - A review of the Comprehensive Student Support System (CSSS);
 - An understanding of educationally relevant interventions and recommendations; and
 - An understanding of team-based decision-making.
- Documentation of professional development shall include the name of the in-service, the name of the instructor, date, place and time of in-service. Individuals must have signed in on official in-service registration sheets. Team meetings and supervisory sessions may not be substituted for professional development.
- Participate in District/Complex Quality Assurance Meetings at the request of DOE.
- Participate in due process requirements at the request of DOE.
- Participate in the Internal Monitoring process at the request of DOE.
- All contract providers and agency staff members must adhere to the DOE Water Safety Guidelines. See Section 5, Attachment E.

The applicant should address how the proposed plan and services would support service delivery of school-based services within the least restrictive environment.

The proposal should detail plans for successful transition of service provision to available DOE employees or other DOE contracted providers. Proposals should also minimize burdensome and/or unnecessary travel time for students.

The applicant shall submit documentation and evidence of collaborative relationships with schools, complexes, districts, other individual providers and community agencies, including Children's Community Councils.

The applicant must identify what services would be provided with a description of how they best address the needs of the targeted population.

In the event that an applicant intends to integrate services with schools, agencies, and other DOE contracted providers, applicants presuming to utilize any community assets, staff, facilities, or instructional resources, including those of the DOE, shall submit documentation of any agreements with the relevant community agency(ies) confirming the applicant's intent to participate in service delivery in the event the applicant is successful and awarded a contract.

In addition, for the service activities covered by this RFP, in the Service definition "adequate supervision" must be provided by:

A Doctorate of Education with a specialty in the areas of special education, psychology or speech pathology with having at least one year of experience working with students with special needs in an educational setting and have knowledge and experience of behavioral approaches.

OR

A Masters of Education with a specialty in the areas of special education, psychology or speech pathology with having at least five years of experience working with students with special needs in an educational setting and have knowledge and experience of behavioral approaches.

OR

Current Hawaii-licensed psychiatrist; board certified by the American Board of Psychiatry and Neurology (ABPN); and board certified in Child/Adolescent Psychiatry.

OR

Possess a current Hawaii license in Psychology, Social Work Certification, Diplomate in Clinical Social Work (DCSW) or Board Certified Diplomate (BCD) only, or Marriage and Family Therapy (LMFT) with experience in behavioral health.

OR

Possess a current Hawaii license and certification to practice as an Advanced Practice Registered Nurse (APRN) in behavioral health.

OR

A Hawaii licensed social worker holding a master's degree from a national accredited university and having at least one year of full time, clinically supervised progressive experience inclusive of residency, internship or practicum in the care or treatment of students in a mental health or educational setting.

B. Work Activities

The applicant should address how the proposed plan and services would support service delivery of intensive support services within the least restrictive environment.

1) Intensive Instructional Services Consultation**Service Description:**

The purpose of Intensive Instructional Services Consultation is to:

- Respond to the school's request for classroom consultation for students who are exhibiting severe social, communication and behavioral deficits per the IEP;
- Lead and direct the activities of paraprofessionals when DOE personnel is unavailable to do so; or
- Lead and direct the activities of paraprofessionals working with a group when DOE personnel are unavailable to do so.

The procurement of an Intensive Instructional Services Consultant (IISC) should be considered an intensive intervention. Its primary expectation is to design strategies that will promote growth toward meeting identified educational goals of a student with a combination of severe social, communication and behavioral deficits. It is a requirement that the IISC is established as a professional and be fully competent in their ability to implement this service through the credentialing, training, or oversight by the agency. IISCs must understand how to support differentiated curricula adapted to the social, communicative and behavioral needs of students. At a minimum, an IISC should have knowledge of, and experience, using evidence based instructional interventions including but not limited to applied behavioral analysis principles, discrete trial teaching, functional visual communication systems, structured teaching approaches and typical child development. Any additional training or consultative support needed by an IISC to support an individual student will be available from the agency's supervisory and training infrastructure and shall be provided by the agency as an included cost of the service and provided prior to the IISC beginning work activities.

Service Operations:

Any IISC shall work collaboratively with the classroom teacher and all other members of a student's educational team.

The IISC will contact the teacher to collaborate in developing the service plan within one week of procurement. The provider will submit the service plan to the teacher within two weeks of procurement. See Section 5, Attachment F.

As many students exhibiting a combination of severe social, communication and behavioral deficits require accommodations for access to their educational curriculum, IISCs may be required to develop schedules, work systems, visual cues, communication books and other accommodations to promote access to the curriculum. This is to be considered an included cost of the service.

A. Classroom Consultation

Classroom consultation will be provided to DOE professionals who need consultation support specific for a student or students with a combination of severe social, communication and behavioral deficits. Consultation will focus on an area of need identified by the IEP team and will be limited to the hours outlined in the IEP. The need for consultative services under this contract will be generated upon DOE request and may transfer to DOE personnel as the resources become available. Topics will be limited to areas identified as needed by DOE personnel. The consultation topics may include, but not limited to behavioral management or classroom organization (e.g. seating arrangements, scheduling), general and intervention-specific information on the target population as it impacts the needs of a specific student(s).

B. Lead and Direct a Paraprofessional (Individual student support)

After collaboration with the classroom teacher, the IISC will develop a written service plan that details the skills to be reinforced, the instructional strategies to be utilized across domains and the data management strategy to be implemented on a day-to-day basis. The service plan must detail how skills taught by DOE professional personnel would be reinforced and generalized. The service plan must follow the IEP goals and objectives as identified by the IEP team. If there is a difference of opinion about the service plan, the classroom teacher has the final determination. Monitoring of progress on the plan must be coordinated with the classroom teacher as an ongoing consultative process which includes meetings with the appropriate school personnel to discuss specific issues/interventions related to student performance. The amount of service will be limited to the hours outlined in the IEP. The need for this service under this contract will be generated upon

DOE request and may transfer to DOE personnel as the resources become available.

Due to the restrictive nature of individual student support, it is anticipated that this service focus on increasing student's ability to access educational supports in a group setting as quickly as is appropriate for the student.

C. Lead and Direct a Paraprofessional (Group)

If the IISC is leading and directing a paraprofessional(s) working with a group of students, the IISC will develop a service plan that will identify how the group activities will address each student's individual IEP goals and objectives as an extension of the activities that are initiated in the DOE program. For example:

On Tues. students will play a board game and make popcorn.

Student A will work on turn taking.

Student B will work on identifying colors: red, blue, yellow.

Student C will work on initiating peer interactions. "Would you like some pop corn?" "Your turn," "My turn," etc.

Student D will work on vocabulary building: hot, crunchy.

The group service plan will detail the skills to be reinforced, the instructional strategies to be utilized and the data management strategy to be implemented on a day-to-day basis. See Section 5, Attachment L. Data will be kept on each goal and objective worked on during the group session for each student. Activities will be appropriate to the student's age and developmental level. Groups will be made up of students who are age and developmentally compatible. Monitoring of progress on the plan must be coordinated with the classroom teacher as an ongoing consultative process which includes meetings with the appropriate school personnel to discuss specific issues/interventions related to student performance.

Guidelines for IISC Leading and Directing Skills Trainers Individual and Group Settings:

The functions of the IISC are to develop a service plan, to ensure that data collection is completed and to coordinate with the DOE team.

For IISC individual and group, the service plan will be implemented by a paraprofessional and monitored by the IISC or designated DOE personnel. If necessary, the IISC will provide direct instruction/training to the paraprofessional in the implementation of the service plan. It is expected that this training will include intermittent observation of the paraprofessional while implementing the plan with the student. The IISC must provide direction to the paraprofessional personnel over the course of the intervention.

If the IISC has concerns about the direction from the classroom teacher, the IISC is to inform their agency supervisor who should first bring the matter to the school administrator. Should the matter be unresolved at the school level, the agency supervisor should contact the appropriate District Educational Specialist.

For any of the services listed above, the provider must deliver the service in the time and frequency identified in the IEP (e.g., do not provide all authorized contact hours for the month in one session at the end of the month, unless this arrangement is specified in the IEP). Any missed hours by the IISC will be reported to the school administrator or designee. See Section 5, Attachment G.

The IISC will monitor the data gathered on the student's progress toward (or lack thereof) on the specified IEP goals and objectives. The IISC will evaluate the data with the classroom teacher to determine necessary instructional modifications. Monitoring of progress on the plan must be coordinated with the classroom teacher as an ongoing consultative process which includes meetings with the appropriate school personnel to discuss specific issues/interventions related to student performance. The amount of service will be limited to the hours outlined in the IEP. The need for this service under this contract will be generated upon DOE request and may transfer to DOE personnel as the resources become available.

Progress towards the IEP goals and objectives is expected to result in a shift in support to promote independence and a reduction in the need for these services. Lack of student progress will be discussed with the classroom teacher. The IISC, in collaboration with the classroom teacher, will revise the service plan to promote progress.

IISC providers must have the ability to deliver services in various environments, such as schools, homes (birth, kin, adoption, and foster), community, homeless shelters, street locations, etc.

This service should be delivered in a setting determined by the IEP team. This may occur at the school, student's home, or at a site in the student's home community as identified by the team. Sites will be appropriate to the student's age and developmental level. The provider must integrate this service with other agencies, and other DOE contracted providers.

Should interventions occur outside of school, they must provide repetition and generalization of skills learned in the classroom. For all services provided in private homes, a parent, guardian or caregiver (must be at least 18 years of age) will be present for the duration of the session. An IISC, ST or any other DOE contracted provider is not considered a parent, guardian or caregiver.

Under the terms and conditions of this RFP, the DOE will not pay an agency for transportation costs including reimbursement for mileage. The DOE strongly

recommends that agencies not transport students; it is the DOE's responsibility to provide all mid-day transportation services. HOWEVER, if a school requests the agency to transport a student or if the IEP states that the provider agency will transport students and the agency agrees to transport students, the school is responsible for all liability and costs associated with the transportation of the student.

Teaming and collaboration among all instructional team members is critical in the development and implementation of appropriate educational services for a student such as those that are exhibiting a combination of severe social, communication and behavioral deficits. To that extent, it is a recommendation that the paraprofessional and IISC be affiliated with the same provider agency, if both services are being procured. This is to help ensure clear communication and coordination between these two services. In the event that it is not possible to meet the instructional needs of a student via one provider agency, the School Administrator will identify the roles of all parties. If there are paraprofessionals from multiple agencies, the IISC is responsible for communicating with the paraprofessional's supervisor.

The agency shall adopt and implement policies and procedures that govern the provision of services in natural settings and documents that it respects students' and/or families' right to privacy when services are provided in these settings. The DOE shall have the right to inspect these policies. Educational records are governed under FERPA; these documents are the property of DOE.

If the DOE requires the IISC to attend an IEP meeting for the student, authorization must come from a DOE administrator affiliated with the IEP team and be billed under Educational Team Planning Participation.

Referral Criteria:

An IEP Team determines the following:

- That the school needs classroom consultation for a student(s) who is exhibiting severe social, communication and behavioral deficits; or
- The DOE does not have the capacity to lead and direct the activities of a paraprofessional working with an individual student; or
- The DOE does not have the capacity to lead and direct the activities of paraprofessional(s) working with a group.

Authorization (Billable Hours):

1. The following activities are to be considered billable events:
 - Consulting with DOE personnel for students who are exhibiting severe social, communication and behavioral deficits;

- Leading and directing the activities of the paraprofessional when DOE personnel is unavailable to do so; and/or
- Leading and directing the activities of paraprofessional(s) working with a group when DOE personnel are unavailable.

All hours billable in the above activities will be per the student's IEP.

2. The following activities are not considered to be billable events:

- Phone contact not considered a billable event for the purposes of IISC service;
- Scheduling consultation hours;
- Missed hours;
- Travel time;
- Unscheduled, anecdotal conversations even if it is student centered;
- Unauthorized hours, hours outside of the IEP designated hours or retroactive hours;
- Any team meeting in which DOE is not present;
- Any activity that is not educationally related and specifically addresses targeted IEP goals and objectives;
- Consultation about or leading and directing paraprofessionals in any methodology that is not evidence based to address severe social, communicative and behavioral deficits and not developmentally appropriate;
- Corrections to reports or documents that the DOE identified as inadequate;
- Documentation associated with consultation and leading and directing paraprofessionals;
- Activities such as the development/adjusting of the service plan; collecting, aggregating and analyzing data; preparing quarterly progress reports; or developing/preparing materials; and
- Specific skill building for the paraprofessional, such as exposure to specific methodology needed to support a student. This is part of the agency's training responsibilities that must be completed prior to the paraprofessional being assigned to a child.

Continuing Service Criteria:

Provision of this service must be of a time-limited basis and based on evidence based instructional interventions conducive to success in meeting identified IEP goals and objectives and the Hawaii Content and Performance Standards II. In addition, the service should be aligned to and follow the identified IEP goals/objectives and result in educational progress as evidenced by collected data.

At the inception of this service, the provider should formulate a plan for scaling back the intensity or cessation of this service once DOE personnel or the student is

no longer in need of this service. The provider shall provide an appropriate transition plan developed in collaboration with the classroom teacher for any anticipated change in services or intensity. This plan shall be a part of the service plan developed for the student, and subject to the same input and review.

Completion of Service:

1. DOE resources are available to provide the service; and/or
2. The student has met the objectives identified at the initiation of the service; and/or
3. The student has reached mastery level on their IEP goals and objectives identified for this service; and/or
4. The student has not made measurable gains for one or more quarters of this service provision; and/or
5. The student's IEP team determined that the provision of this service is no longer needed.

Staffing Requirements:

1. The agency must provide adequate supervision of an IISC. This shall minimally consist of two hours per month - one hour of individual and one hour of group supervision that is to be documented in their personnel file. See definition of "adequate supervision" on page 2-8.
2. At a minimum, IISC must have:
 - a. A Bachelors degree in special education, speech and language pathology, occupational therapy, psychology, social work and five years direct experience working with a variety of students who are exhibiting severe social, communication and behavioral deficits.
 - OR
 - b. A Masters degree in special education, speech and language pathology, occupational therapy, psychology, and social work and three years of direct experience working with a variety of students who are exhibiting severe social, communication and behavioral deficits.
 - OR
 - c. A Doctorate degree in special education, speech and language pathology, occupational therapy, psychology, psychiatry, and social work and two years direct experience working with a variety of students who are exhibiting severe social, communication and behavioral deficits.

Documentation:

1. After collaboration with the classroom teacher, the IISC will develop a written service plan that details how the skills taught by DOE personnel will be reinforced and generalized, what instructional strategies will be utilized across domains and the data management strategy to be implemented on a day-to-day basis. The service plan will follow the IEP goals and objectives as identified

by the IEP team as targets of this service. The plan should be completed within two weeks of procurement of service and given to the classroom teacher. See Section 5, Attachment F.

2. The IISC will retrieve the data taken by the paraprofessional once weekly. The IISC will aggregate and analyze the data and report it in the Quarterly Summary Report. The Quarterly Summary Report will provide a measurable and quantifiable summary of the student's progress or lack thereof. The IISC will give the Quarterly Summary Report to the IEP Care Coordinator two weeks prior to the end of the quarter. See Section 5, Attachment C. Upon the discretion of DOE, progress reports may be returned if the report is vague or incomplete or for other reasons the DOE identifies as unacceptable. No additional time may be billed for corrections required by the DOE. All data will be given to the IEP Care Coordinator on a weekly basis.
3. Documentation will occur for every consultation event in the IISC's Progress Notes, which will be given to the agency within 24 hours after the event. The narrative will detail goals and the topics discussed and the outcome of the consultation. The agency will keep the consultation progress notes in accordance with DOE policy. The agency will submit copies of the progress notes to DOE staff within 48 hours of written notice. Absence of the progress note will be constructive proof that the event did not occur and the amount billed subject to refund.

2) Skills Training

Service Description:

A. Skills Training Individual

Skills training are services provided by a paraprofessional that includes activities to provide sufficient repetition to enable the student to generalize skills learned in school, based on IEP goals and objectives and following the student's written service plan. It provides for repetition and generalization of skills already learned in the school setting. Provision of this service must be time-limited and based on evidence based instructional interventions conducive to success in meeting identified IEP goals and objectives and the Hawaii Content and Performance Standards II.

B. Skills Training Group

Skills training group are services provided by a paraprofessional to enable the students to generalize skills learned in school, based on IEP goals and objectives and following the student's written service plan. It provides for repetition and generalization of skills already learned, in the context of a group setting. Provision of this service must be time-limited and based on evidence based instructional interventions conducive to success in meeting identified

IEP goals and objectives and the Hawaii Content and Performance Standards II.

Service Operations:

A. Skills Training Individual

Skills Training will be delivered in a one-to-one instructional format when deemed appropriate by the IEP team. The utilization of individual skill training should be considered an intensive intervention, and due to restrictiveness of this educational arrangement, should be considered only when the student has demonstrated an inability to generalize skills in a group situation or across multiple settings.

Due to the restrictiveness of this service, it is imperative that when individual skills training is utilized, the goal is to promote the child's independence and the development of skills that will lead to the student generalizing his or her IEP goals/objectives. To facilitate independence, the IISC and/or classroom teacher must monitor student's reliance upon the paraprofessional providing the service and provide consultation to ensure progress toward independence.

It is expected that the paraprofessional (hereafter known as a Skills Trainer) providing the service will work collaboratively with the Classroom Teacher and all other members of a student's educational team. For all supports provided by the Skills Trainer, the Classroom Teacher has final authority subject to the review process described in paragraph above.

Skills Trainers must coordinate their efforts with the assigned classroom teacher and Intensive Instructional Services Consultant, if procured. The Skills Trainer will take direction from the classroom teacher, in concert with the input from the Intensive Instructional Services Consultant, if procured. If the Skills Trainer and classroom teacher have issues that cannot be resolved, the Skills Trainer is to inform their agency supervisor who should first bring the matter to the school administrator. Should the matter be unresolved at the school level, the agency supervisor should contact the appropriate District Educational Specialist.

Skills Training will address IEP goals and objectives identified by the Student Service Plan. The teaching methodology to address these goals and objectives shall be evidence based. The selection of methodology and curriculum will be determined by the classroom teacher and IISC (if one is procured) and will match the student's chronological age, developmental level, the nature and severity of the disability and validated to meet the identified goal/objective. To appropriately measure the progress towards the IEP objectives, the Skills Trainer shall collect systematic data. This data will be collected daily on the goals and objectives worked on for that day and provided on a weekly basis to

the classroom teacher and IISC, if procured. Progress towards the objectives should result in instructional modifications to promote progress. It is an expectation that the person providing this service make contact with the classroom teacher one week of procurement.

The provider shall provide the service in the time and frequency identified in the IEP (e.g., do not provide all authorized contact hours for the month/week in one session at the end of the month/week, unless this arrangement is specified in the IEP). Services to be delivered will be addressed in the same manner as instructional days in determining makeup hours in missed sessions. For example, if the student is absent from school, hours will not be made up including hours beyond the typical school day. If the provider has missed a session due to provider unavailability, the agency will provide a substitute or make arrangements with the school to make up missed session if needed. DOE has the final determination if a missed session is to be made up.

If sufficient documentation exists to warrant services beyond the school day, this service may be provided during age appropriate activities in which specific skill needs, as determined by the IEP team, can be addressed in the school, home or home community. Should interventions occur outside of school, they must provide repetition and generalization of skills learned in the classroom.

Skills Trainers must collect written data daily for each assigned IEP goal/objective worked on during that day. This data will be provided to the Classroom Teacher and the IISC, if procured. Absence of the written data will be constructive proof that the event did not occur and the amount billed subject to refund.

Skills Trainers must have the ability to deliver services in various environments, such as homes (birth, kin, adoption, and foster), schools, community, homeless shelters, street locations, etc.

This service should be delivered in a setting determined by the IEP team. Sites will be appropriate to the student's age and developmental level. This may occur at the school, student's home, or at a site in the student's home community as identified by the team. For all services provided in private homes a parent, guardian, or caregiver (must be at least 18 years of age) will be present for the duration of the session. An IISC, ST or any other DOE contracted provider is not considered a parent guardian or caregiver.

Under the terms and conditions of this RFP, the DOE will not pay an agency for transportation costs including reimbursement for mileage. The DOE strongly recommends that agencies not transport students; it is the DOE's responsibility to provide all mid-day transportation services. **HOWEVER**, if a school requests the agency to transport a student or if the IEP states that the provider agency will transport students and the agency agrees to transport

students, the school is responsible for all liability and costs associated with the transportation of the student.

The provider must integrate this service with other agencies, and other DOE contracted providers. The goal is to allow the student to benefit from their education; paraprofessional support occurring outside of school should remain educationally relevant and directed by the classroom teacher and/or the IISC if one is procured.

Teaming and collaboration among instructional team members is critical in the development and implementation of appropriate educational services for students such as those exhibiting a combination of severe social, communication and behavioral deficits. To that extent, it is an expectation that the Skills Trainer(s) and IISC be affiliated with the same provider agency. In the event that it is not possible to meet the instructional needs of a student via one provider agency, the student's School Administrator will identify the roles of all parties. If there are Skills Trainers from multiple agencies the IISC is responsible for communicating with the Skills Trainer's supervisor(s).

The agency shall adopt and implement policies and procedures that govern the provision of services in natural settings and documents that it respects students' and/or families' right to privacy when services are provided in these settings. The DOE shall have the right to inspect these policies. Educational records are governed under FERPA; these documents are the property of DOE.

If the DOE requires the Skills Trainer to attend an IEP meeting for the student, authorization must come from a DOE administrator affiliated with the IEP team and be billed under Educational Team Planning Participation.

B. Skills Training Group

Skills Training may be delivered in a small group when deemed appropriate by the IEP team. The purpose of this service is to provide students an opportunity to practice and generalize skills in a small group. The size of the group and group members will be determined by DOE personnel.

Groups must be organized to provide student access to age appropriate peers. This service should be delivered in school or in the student's home community as determined by the IEP team. To ensure safety of the students, groups will have one adult for every 3 students in the target population unless otherwise specified in the IEP. Activities should be age and developmentally appropriate. If DOE personnel are not available to lead and direct the paraprofessional(s) working with a group, an IISC may be procured. There will be only one IISC leading and directing the activities of paraprofessional(s) working with a group.

It is expected that Skills Trainers will work collaboratively with the Classroom Teacher and all other members of a student's educational team. For all supports provided by the Skills Trainer, the Classroom Teacher has final authority subject to the review process described above.

Skills Trainers must coordinate their efforts with the assigned classroom teacher and Intensive Instructional Services Consultant, if procured. The Skills Trainer will take direction from the classroom teacher, in concert with the input from the Intensive Instructional Services Consultant, if procured. If the Skills Trainer and classroom teacher have issues that cannot be resolved, the Skills Trainer is to inform their agency supervisor who should first bring the matter to the school administrator. Should the matter be unresolved at the school level, the agency supervisor should contact the appropriate District Educational Specialist.

Skills Training Group will address IEP goals and objectives identified by the Student Service Plan. The teaching methodology to address these goals and objectives shall be evidence based. The selection of methodology and curriculum will be determined by the classroom teacher and IISC (if one is procured) and will match the student's chronological age, developmental level, the nature and severity of the disability and validated to meet the identified goal/objective. To appropriately measure the progress towards the IEP objectives, the Skills Trainer shall collect systematic data. This data will be collected daily on the goals and objectives worked on for that day and provided on a weekly basis to the classroom teacher and IISC, if procured. Absence of the written data will be constructive proof that the event did not occur and the amount billed subject to refund. Progress towards the objectives should result in instructional modifications to promote progress. It is an expectation that the person providing this service make contact with the classroom teacher one week of procurement.

The provider shall provide the service in the time and frequency identified in the IEP (e.g., do not provide all authorized contact hours for the month/week in one session at the end of the month/week, unless this arrangement is specified in the IEP). Services to be delivered will be addressed in the same manner as instructional days in determining makeup hours in missed sessions. For example, if the student is absent from school, hours will not be made up including hours beyond the typical school day. If the provider has missed a session due to provider unavailability, the agency will provide a substitute or make arrangements with the school to make up missed session if needed. DOE has the final determination if a missed session is to be made up.

Skills Trainers must have the ability to deliver services in various environments, such as homes (birth, kin, adoption, and foster), schools, community, homeless shelters, street locations, etc.

It is anticipated that the location of this service will be the student's school during the school day; however, the service may be provided in the student's home community if the IEP team determines that the student's needs warrant community instruction.

Under the terms and conditions of this RFP, the DOE will not pay an agency for transportation costs including reimbursement for mileage. The DOE strongly recommends that agencies not transport students; it is the DOE's responsibility to provide all mid-day transportation services. HOWEVER, if a school requests the agency to transport a student or if the IEP states that the provider agency will transport students and the agency agrees to transport students, the school is responsible for all liability and costs associated with the transportation of the student.

The provider must integrate this service with other agencies, and other DOE contracted providers. The goal is to allow the student to benefit from their education; paraprofessional support occurring outside of school should remain educationally relevant and directed by the classroom teacher and/or the IISC if one is procured.

Teaming and collaboration among instructional team members is critical in the development and implementation of appropriate educational services for students such as those exhibiting a combination of severe social, communication and behavioral deficits. To that extent, it is an expectation that the Skills Trainer(s) and IISC be affiliated with the same provider agency. In the event that it is not possible to meet the instructional needs of a student via one provider agency, the School Administrator will identify the roles of all parties. If there are Skills Trainers from multiple agencies the IISC is responsible for communicating with the Skills Trainer's supervisor.

The agency shall adopt and implement policies and procedures that govern the provision of services in natural settings and documents that it respects students' and/or families' right to privacy when services are provided in these settings. The DOE shall have the right to inspect these policies. Educational records are governed under FERPA; these documents are the property of DOE.

Referral Criteria:

An IEP Team determines the following:

- A student exhibits severe social, communication and behavioral deficits (For the purposes of this RFP severe is defined as two or more standard deviations below the mean on a standardized instruments that are designed to assess social, communication and behavior.); and
- The school has documented skills taught in a school setting; and

- The school has documented attempts to generalize skills to other settings and learning arrangements without success; and
- A service plan has been developed by the IISC or the classroom teacher has a plan in place for the delivery of this service.

Authorization (Billable Hours):

A billable event shall be face-to-face contact with the student or in the case of a group situation, students receiving services. Documentation should be considered as an included cost of this service and factored into the unit rate. Phone contact should not be considered a billable event.

Continuing Service Criteria:

Provision of this service must be of a time-limited basis and based on evidence based instructional interventions conducive to success in meeting identified IEP goals and objectives and the Hawaii Content and Performance Standards II. In addition, the service should be aligned to and follow the identified IEP goals/objectives and result in educational progress as evidenced by collected data.

At the inception of this service, the provider should formulate a plan for scaling back the intensity or cessation of this service once DOE personnel or the student is no longer in need of this service. The provider shall provide an appropriate transition plan developed in collaboration with the classroom teacher for any anticipated change in services or intensity. This plan shall be a part of the service plan developed for the student, and subject to the same input and review.

Completion of Service:

1. DOE resources are available to provide the service; and/or
2. The student has met the objectives identified at the initiation of the service; and/or
3. The student has reached mastery level on their IEP goals and objectives identified for this service; and/or
4. The student has not made measurable gains for one or more quarters of this service provision; and/or
5. The student's IEP team determined that the provision of this service is no longer needed.

Staffing Requirements:

1. The agency must provide adequate supervision of a Skills Trainer and shall minimally consist of two hours per month - one hour of individual and one hour of group supervision that is to be documented in their personnel file. See definition of "adequate supervision" on page 2-8.

2. Skills Trainers must receive a minimum of two hours of client-specific group supervision each month. Case reviews must be a part of each supervision hour.
3. At a minimum, Skills Trainer must have a two-year degree from an accredited university or institution of higher learning or meet Federal No Child Left Behind (NCLB) requirements. Any additional training should be available from the agency's supervisory and training infrastructure. NCLB requirements are:
 - a. Option 1 - 48 credits
 - Credits must be 100 level or higher in any subject area.
 - If earned after June 30, 2003, credits must include 3 credits in Math and 3 credits in English.
 - Must be earned from a regionally accredited institution.
 - Agencies must have all transcripts on file.
 - b. Option 2 - Associate's Degree
 - Degree must be earned with 100 level or higher courses.
 - For employees who earned a degree prior to January 8, 2002, the degree may include less than 100 level courses.
 - Must be earned from a regionally accredited institution.
 - Agencies must have all transcripts on file.
 - c. Option 3 – DOE compliance
 - Has met NCLB requirements under DOE guidelines and training.
4. **Provider agencies** will be responsible for providing replacement staff for absences or vacations of the assigned skills trainer(s). It is expected that a pool of substitutes will be maintained to ensure continuity of service delivery. Failure to provide a replacement Skills Trainer either on a temporary or permanent basis shall be documented and may impact future contract awards.

Documentation:

1. Prior to initial service contact, the Skills Trainer should have the service plan provided by the classroom teacher. In the case where the Skills Trainer has no contact with the classroom teacher, the IISC will provide the service plan to the Skills Trainer. It will also include a plan to monitor progress and will describe the level and intensity that will be provided by the Skills Trainer as well as the proposed plan to adjust the levels and intensity of assistance provided by the Skills Trainer.
2. Skills Trainers will collect daily data on each IEP goal and objective for which the Skills Trainer is responsible for implementing on that day. This data must relate to the directions set forth in the service plan. The Skills Trainer will give the data to the classroom teacher or the IISC, if procured, on a weekly basis. No additional time may be billed for corrections. In the event that the Skills Trainers has no contact with the classroom teacher, the IISC is responsible for getting the data to the classroom teacher on a weekly basis.

3) Parent Education/Training

Service Description:

The purpose of Parent Education/Training is to educate parents or legal guardians (with whom the student resides) in understanding the special needs of their child who is exhibiting severe social, communication, and behavioral deficits, and help parents to acquire and practice the skills that will allow them to support educational progress. Topics of instruction may include, but are not limited to information related to their child's disability and related diagnosis; techniques to address behavioral issues; information about evidence based strategies.

Service Operations:

Provision of this service must be of a time-limited basis and promote success in helping parents acquire the skills to support their student's educational progress. A parent training plan will be developed by DOE personnel or the parent trainer in collaboration with the classroom teacher based on topics that address the training needs of the parent as identified by the IEP team. Data will be kept as to the progress made by parent receiving Parent Education/Training at each session.

The intent of this service is to enable the parent to help support their child's educational progress. The provider shall provide the service in the time and frequency identified in the IEP (e.g., do not provide all authorized contact hours for the month in one session at the end of the month, unless this arrangement is specified in the IEP). The parent's inability to acquire the skills or knowledge or lack of participation will result in the IEP team revisiting the need for this service.

It is an expectation that contact be made with the school to develop the parent training plan within one week of procurement. After the training plan is developed, the parent trainer will contact parent to initiate services. This inception date of services may be delayed as an accommodation to the parent, however, the provider must provide notice to the DOE employee requesting the services in writing, e-mail is acceptable.

Services are available to parents within the typical workday as well as in the evening.

This service should be delivered in a setting determined by the IEP. This may occur at the student's school, home, or other site as identified by the team. The provider should be able to integrate this service with other services, school, agencies, and other DOE contracted providers.

Under the terms and conditions of this RFP, the DOE will not pay an agency for transportation costs including reimbursement for mileage.

The agency shall adopt and implement policies and procedures that govern the provision of services in natural settings and documents that it respects students' and/or families' right to privacy when services are provided in these settings. The DOE shall have the right to inspect these policies. Educational records are governed under FERPA; these documents are the property of DOE.

Referral Criteria:

An IEP Team has determined that:

- Parents/legal guardians need education in the understanding of the special needs of their child; and/or
- Parents/legal guardians need help in the acquisition and practice in the skills that will allow them to support their student's educational progress.

Authorization (Billable Hours):

A billable event consists of face-to-face contact with persons who are the recipient of the training. Any reporting or documentary requirements should be considered an included cost. Phone contact should not be considered a billable event. Absence of the training report will be constructive proof that the event did not occur and the amount billed subject to refund.

Continuing Service Criteria:

Provision of this service must be of a time-limited basis and based on evidence based instructional interventions. In addition, the service will follow the parent training plan and result in progress as evidenced by collected data.

Completion of Service:

1. Training plan has been implemented and completed; and/or
2. DOE resources are available to provide the service; and/or
3. The IEP team determined that the provision of this service is no longer needed.

Staffing Requirements:

1. The agency must provide adequate supervision of a Parent Education/Training provider and shall minimally consist of two hours per month - one hour of individual and one hour of group supervision that is to be documented in their personnel file. See definition of “adequate supervision” on page 2-8.
2. Supervision of a parent trainer shall consist of case review minimally two hours per month; one hour of individual and one hour of client-specific group supervision each month that is documented in their personnel file.
3. At a minimum, Parent Education/Training providers must possess:
 - a. A Doctorate degree in special education, speech and language pathology, occupational therapy, psychology, psychiatry, and social work and two years direct experience working with a variety of students who are exhibiting severe social, communication and behavioral deficits.
 - OR
 - b. A Masters degree in special education, speech and language pathology, occupational therapy, psychology, or social work and three years of direct experience working with a variety of students who are exhibiting severe social, communication and behavioral deficits.
 - OR
 - c. A Bachelors degree in special education, speech and language pathology, occupational therapy, psychology, social work and five years direct experience working with a variety of students who are exhibiting severe social, communication and behavioral deficits.

Documentation:

1. Prior to initial service contact, the service provider should have written information provided by the IEP team in regards to which specific concepts/skills a parent is receiving training.
2. Parent Training plan must include specific concepts/skills in which training is being provided and data will be kept on progress or lack of progress in acquiring the specific concepts/skills identified.
3. A training report and supporting data is to be provided to IEP CC monthly. See Section 5, Attachment I. Contracted agencies will be responsible for providing measurable outcome data to assess the effectiveness of this service. Absence of the training report and data will be constructive proof that the event did not occur and the amount billed subject to refund.

4) Educational Team Planning and Participation

Service Description:

Provide time for contract providers to meet with the student's educational team members to develop, revise, and/or review an IEP or other related educational plan such as an FBA or BSP. This service consists of non-regularly scheduled meetings.

This service includes all of the following:

1. Attendance at a multi-disciplinary education planning conference and organized presentation of pertinent information educationally related to the goals and objectives of the student;
2. Completion of an IEP or BSP, as needed, identifying goals, measurable objectives and interventions based on student evaluation data;
3. Documented verification of attendance such as a sign in sheet; and
4. Documentation will occur for each meeting in the student's progress notes. The narrative should include the topic discussed and the outcome of the provider's participation.

Service Operations:

1. The contract provider ensures that adequate representation is available at the education planning meeting.
2. Participation in education planning is documented in student's IEP.
3. Copy of the IEP and BSP are included in the student's record.

Referral Criteria:

1. The student has an IEP; **AND**
2. The DOE identifies that participation of the contract provider in the education planning meeting would be educationally beneficial.

Authorization (Billable Hours):

Prior procurement by DOE is required for each education planning meeting. DOE identifies that participation of the contract provider in the education planning meeting would be educationally beneficial. If another agency or entity requests the contract provider's presence at the meeting, DOE would not be the procurement agency for that service.

[NOTE: This service is not to be used for the development of the written service plan which is an included part of the service for Intensive Instructional Services Consultant. **Excludes activities included under any other activities or services in this RFP.**]

Education planning meetings are limited to the actual time spent at the meeting. There is no reimbursement for travel time, wait time, or cancellations.

Maximum billable = Actual Time Spent at the IEP meeting.
(1 unit = 5 minutes, 12 units = 1 hour)

Completion of Service:

The service is complete when both of the following are complete:

1. Participation at the education planning meeting is completed.
2. Documented verification of attendance such as a sign in sheet.

Staffing Requirements:

Specific education planning participants must meet the qualifications requirement for the particular level of care represented.

Documentation:

1. Contract providers are required to input information in the ISPED modules such as IEP, visit log, progress report and other modules that DOE requires.
2. Contract providers shall enter data into ISPED on a weekly basis within twenty-four (24) hours of service provision.
3. Data entry into ISPED must be submitted before invoice submission and payment.

5) Court/Due Process Hearing Testimony

Service Description:

Participation in a court hearing or due process hearing at the request of DOE. This participation is in addition to a State representative's (i.e., Deputy Attorney General) presence in court and is intended to ensure that the court has access to all relevant information needed.

1. Attend court hearing as requested by the DOE to present relevant educational data or information needed.
2. Specific report writing by provider needed for court or due process hearing (Quarterly Progress Reports, Progress Notes, Clinical Evaluations, and other existing reports do not suffice). If a specific report must be submitted, the DOE may request that the contract provider complete specific documentation to assist in the writing of the report. The unit of service for the generation of the specific documentation is limited to a maximum of one hour.
3. Recommendations are based on the presenting needs of the student.
Recommendations will not be accepted regarding specific services, methodology or persons (i.e., student requires day treatment).

4. Reports are made available to the DOE for review prior to the hearing.

Service Operations:

1. Present testimony at the court hearing or due process hearing.
2. The report, if requested, is signed by the appropriate professional.

Referral Criteria:

1. Student has an IEP;
2. Student has a scheduled court hearing or due process hearing; **AND**
3. The DOE identifies that participation by the contract provider would be helpful to the court in understanding the student's case.

Authorization (Billable Hours):

Prior procurement by the DOE is required for each court hearing or due process hearing session or event. Participation is limited to 24 units. Specific rationale for exceeding the maximum units must be reviewed with school administrator or district educational specialist prior to the procurement of the service.

Maximum Billable = 24 units
(1 unit = 5 minutes, 12 units = 1 hour)

Completion of Service:

This service delivery ends with the completion of the court hearing or due process hearing, or the acceptance of the requested documentation by the State representative.

Staffing Requirements:

Participants must meet the qualifications requirement for the particular level of care represented.

Documentation:

Report as specified under Service Description, if necessary.

C. Management Requirements (Minimum and/or mandatory requirements)

1) Personnel

Provider Networks and Supervision Requirements:

Applicants may choose to hire direct employees, or establish a network of professional providers. If the applicant utilizes a network of independent providers, each practitioner must meet the state requirements to provide behavioral health services as an independent practitioner. The applicant shall assume responsibility for the quality of work provided by its employees, subcontracted providers, and volunteers. The applicant shall also be responsible for monitoring the work of all subcontractors and ensure that expectations and responsibilities of the applicant and its employees are equally placed on subcontracted providers. Each applicant must identify how personnel will be trained to ensure that services provided are consistent with an educational model and are consistent with evidence based interventions for the populations addressed in the proposal.

An applicant must address supervision and monitoring of the quality of services of all employees and contracted personnel.

The applicant must ensure that employees, subcontracted providers and volunteers adhere to all applicable state laws regarding the obtaining and releasing of confidential student information. The agency shall adopt and implement policies and procedures that govern the provision of services in natural settings and documents that it respects students' and/or families' right to privacy when services are provided in these settings. The DOE shall have the right to inspect these policies. Educational records are governed under FERPA; these documents are the property of DOE. Parental consent for assessment and release of information is covered by the IEP consent. No additional parental consent for assessment or release is needed by the contracted provider.

Criminal History Record Checks:

At this time, the Department is actively seeking legislation that will amend current law to allow the DOE to perform local and national fingerprinting checks of all of its employees, subcontracted providers, and volunteers who work in close proximity to children. It is anticipated that legislation will be enacted and rules implemented in July 2005. Applicants awarded contracts under this RFP will be subject to any statutory or regulatory requirements promulgated for this purpose.

Applicants should be prepared to conduct the following record checks:

The applicant shall require criminal history checks on all employees, subcontracted providers, and volunteers as provided under Section 302A-601.5, HRS and HAR 8-7. The DOE shall perform the fingerprint and criminal history checks and charge the applicant a reasonable fee for all costs associated for conducting and processing criminal background checks of all applicant's employees, subcontracted providers, and volunteers, including, but not limited to

administrative and program staff members who work in close proximity to children as a result of being awarded a contract under this RFP. Applicants shall require all employees, subcontracted providers, and volunteers to complete a copy of DOE Form 90. Fingerprinting checks required under this Section shall be completed before any employee, subcontracted provider and volunteer of the applicant is assigned to any work site.

The applicant shall maintain a record of the mandatory criminal history checks performed on each of its employees, subcontracted providers, and volunteers in compliance with the above. A local criminal history check is required every three years.

Additionally, the applicant shall maintain and update a list of all new employees, subcontracted providers, and volunteers that document the status and completion dates of the mandatory background checks.

The Department reserves the right to monitor the applicant's compliance with this stipulation on an annual basis, at a minimum, through either an on-site evaluation or a documentation review.

2) Administrative

All applicants must identify procedures to maintain personnel files of the training, supervision, appropriate credentialing, and ongoing monitoring of all employee, subcontracted provider, and volunteer performance.

Applicants must identify how they would provide the necessary infrastructure to support the provision of services under this RFP.

An organization chart which clearly defines the applicant's lines of authority and organizational functions must be included.

Applicants must also submit personnel updates, on a monthly basis, to reflect any changes in staffing (i.e., new hires, terminations, changes in credentialing) for the organization's officers and **direct service** personnel. Current copies of the resumes or curriculum vitae and copies of licenses or certificates for all new hires or changes in credentialing must also be submitted.

Applicants must maintain written policies and procedures that will identify the applicant's process for primary source verification of all personnel.

3) Quality assurance and evaluation specifications

All contractors must participate in at least annually, and frequently quarterly contract monitoring. This contract monitoring is based on compliance with the

DOE monitoring protocol and compliance with all administrative and fiscal aspects of the contract.

All documentation and all student records must be made available for audits scheduled by DOE.

All applicants will identify how they intend to comply with applicable District(s)/Complex(s)/ State Quality Assurance Plan (QAP).

All applicants must describe in detail a Quality Assurance Plan (QAP). Applicants must implement an internal QAP to assure the delivery of quality educational services and a plan for program assessment and continuous improvement. The QAP will include evidence supporting their plan and will include evidence supporting their plan and will be available for District/State DOE review.

4) Output and performance/outcome measurements

At a minimum these measures must include:

- Satisfaction of schools and parents with the services;
- Progress and outcome measures related to academic achievement and behavioral success in school, at home, and in the community;
- Timeliness of services, which includes initiation of services as outlined in this RFP and data collection and reports provided by due dates; and
- Services provided aligned with DOE educational philosophy and complement students educational curriculum.

5) Experience

Please refer to specific credentialing requirements as detailed in Section 2, B “Work Activities.”

6) Coordination of Services

Please refer to specific requirements as detailed in Section 2, B “Work Activities.”

7) Reporting requirements for program and fiscal data

a. Program Requirements:

The development and implementation of an integrated Special Education Management Information System (ISPED) is a result of the *Felix* Consent Decree and will enable the Department to integrate with other existing systems and generate consolidated statistical information regarding student population, services and other related items (e.g., school lunch, attendance and graduation rates) from one location. ISPED is web based and accessible from all schools, state offices, and district offices, etc.

In addition, the Department desires to utilize technology in implementing such features as workflow, electronic forms, profiling, item banking of services and recommendations, electronic plan generation, case coordination, case management and the measurement of the effectiveness of services.

Applicants shall input information into the ISPED modules such as: 1) IEP/MP; 2) Visit Record; and 3) Progress Report and other modules that DOE may require. For any event in which work was done with the student, a visit record must be entered into ISPED within 24 hours of its occurrence. If in the event this is not possible, then an event shall be recorded in a paper format to be identified by DOE at a later date.

Data entry into ISPED (along with applicable requirements within each service activity) must be completed before invoice submission and payment.

At a minimum, applicants are required to have computer hardware that supports: 1) 32MB RAM running Microsoft Windows 95 or higher, or 32 MB RAM running Max OS 8.5 or higher; 2) Microsoft Word and Excel; 3) Internet Connection, Internet Explorer 5.0 or higher, Internet email; 4) Adobe Acrobat 4.0 or higher; and 5) Laser printer. Applicants are responsible for arranging for their Internet connections; DOE will not provide this service. Applicants must also provide their own equipment, training and technical support. Email may be used for all provider correspondence and applicants will be responsible for checking accounts.

ISPED vs. HARD COPY FORMATS

CONTRACT	REPORT REQ'D	ISPED	HARD COPY
Intensive Services	Student Service Plan	<i>no</i>	<i>yes</i>
	Visit Record	<i>no</i>	<i>no</i>
	Quarterly Progress Report	<i>no</i>	<i>yes</i>
	Monthly Parent Training Progress Report	<i>no</i>	<i>yes</i>

Applicants will also be required to submit prescribed monthly service verification forms documenting that services were actually rendered on the date specified.

Applicants must submit documentation and evidence of policies and procedures regarding sentinel events and incidents. See Section 5, Attachment H. At a minimum, these policies should address: (1) how the applicant will notify to the respective School Administrator and to the appropriate DES within 24 hours by fax or phone and in writing within 72 hours of any event that compromises the safety of a student; (2) how the applicant tracks the occurrence of all sentinel

events and incidents to identify trends and patterns in order to implement improvements; and (3) a complete analysis of the event as well as actions taken to address the event.

Applicants must submit documentation and evidence of policies and procedures regarding the use of restraints.

b. Fiscal Requirements:

Original monthly claims/invoices, along with the DOE billing diskette, must be submitted within 14 calendar days after the last day of each calendar month to the applicable district. A sample billing diskette may be obtained from DOE upon the execution of a contract from the School Based Behavioral Health Services Section (SBBH) office referred to in this RFP. Invoices and billing diskettes shall be submitted to the SBBH Contract Specialist of the applicable school district. All appeals and corrections for reporting/invoice rejections must be resolved within the next 60 calendar days and late claims will not be accepted. Any appeals and corrections for reporting/invoice rejections shall constitute the end of DOE's requirement to pay within 30 days upon receipt of the original invoice. DOE's requirement to pay within 30 days starts on the day the corrected invoice is re-submitted and accepted by DOE. All provider reporting data must be submitted in the manner and format specified by DOE. See Section 5, Attachment I.

The Department reserves the right to audit the agency's financial records and billing documentation on an annual basis, at a minimum, through either an on-site evaluation or a documentation review.

c. Final Reports and Other Documentation:

The agency shall, at the completion of the contract period, submit a final written report summarizing contract performance to the DOE in a format to be prescribed by DOE. See Section 5, Attachment J.

The agency shall submit the original tax clearance certificate upon the execution of a contract with DOE and with the final invoice.

8) Pricing Structure or Pricing Methodology to be Used

Pricing structure should be based on a negotiated unit of service rate. In order to determine a price (unit rate) for a unit of service, the applicant and state purchasing agency negotiate the total costs (including agency administration) for operating a program at a specific capacity and divide by the total number of units of service that the program can produce at that capacity. The applicant is requested to furnish a reasonable estimate of services it can provide for which there is sufficient operating capacity (adequate, planned and budgeted space, equipment and staff).

The unit rate may be subject to negotiation based on the amount of services needed.

This RFP seeks to purchase services on an as needed basis. However, in determining capacity and to assist in developing a proposed rate(s) applicants to this RFP shall provide a minimum number of units they can deliver for each geographic area by level of care to assist the department in determining existing capacity.

9) Units of service and unit rate

Applicants shall submit a unit rate for the services covered by this RFP. The standard unit of service as established under this RFP is five (5) minutes. Applicants are to submit the proposed unit rate for each level of credential on the Rate & Cost Summary Worksheet for each geographic area. See Section 5, Attachment K.

The units provided must be recorded in five (5) minute increments (i.e. 5 minutes="1", 30 minutes="6", 45 minutes="9", 1 hour="12"), instead of hourly.

In proposing a unit rate, applicants should include all direct and indirect costs associated with service delivery. Applicants should consider the following factors in determining a unit rate: (this is not to be considered an exhaustive list)

- Cost of travel, including airfare, lodging and car rental;
- Cost of mileage reimbursements for all direct service providers;
- Costs associated with servicing remote geographical areas; and
- Costs associated with documentation requirements.

For all service activities there is no payment for wait time, no-shows, and/or cancellations, or start-up costs associated with developing/opening of a new program.

D. Facilities

Applicants need only to respond to this section if applicable to the service. Applicants should be clear where the services are to be provided, and if they will be delivered at a specific site. If so, this section would apply.

The applicant shall provide a description of its facilities and demonstrate its adequacy in relation to the proposed services. If facilities are not presently available, describe plans to secure facilities. Also describe how the facilities meet ADA requirements, as applicable and special equipment that may be required for the services.

Section 3

POS Proposal Application Instructions

General instructions for completing applications:

- *POS Proposal Applications shall be submitted to the Department of Education using the prescribed format outlined in this section.*
- *The numerical outline for the application, the titles/subtitles, and the applicant organization and RFP identification information on the top right hand corner of each page should be retained. The instructions for each section however may be omitted.*
- *Page numbering of the POS Proposal Application should be consecutive, beginning with page one and continuing through each section.*
- *Proposals may be submitted in a three ring binder (Optional).*
- *Tabbing of sections (Recommended).*
- *Applicants must also include a Table of Contents with the POS Proposal Application. A sample format is reflected in Section 5, Attachment B of this RFP.*
- *A written response is required for **each** item unless indicated otherwise. Failure to answer any of the items will impact upon an applicant's score.*
- *Applicants are **strongly** encouraged to review evaluation criteria in Section 4, Proposal Evaluation when completing the proposal.*
- *This form (SPO-H-200A) is available on the SPO Website (for the website address see the Competitive POS Application Checklist in Section 5, Attachments). However, the form will not include items specific to each RFP. If using the website form, the applicant must include all items listed in this section.*

The POS Proposal Application comprises the following sections:

- *Title Page*
- *Table of Contents*
- *Program Overview*
- *Experience and Capability*
- *Project Organization and Staffing*
- *Service Delivery*
- *Financial*
- *Other*

I. Program Overview

Applicant shall give a brief overview to orient evaluators as to the program/services being offered.

II. Experience and Capability

A. Necessary Skills

The applicant shall demonstrate that it has the necessary skills, abilities, and knowledge relating to the delivery of the proposed services.

B. Experience

The applicant shall provide a description of projects/contracts pertinent to the proposed services. Applicant shall include points of contact, addresses, e-mail/phone numbers. The DOE reserves the right to contact references to verify experience.

C. Quality Assurance and Evaluation

The applicant shall describe its own plans for quality assurance and evaluation for the proposed services, including methodology. Applicants must create and maintain an internal quality assurance and improvement plan (QAIP) to assure the delivery of quality educational services and a plan for program assessment and continuous improvement. This plan should explain how the applicant would ensure outcomes from the services provided. As this is an educationally related service, the primary outcome measure the DOE is accustomed to is an improvement in grades, behaviors, or scholastic criteria as set forth in the student's IEP or MP. Applicant responses should seek to detail how work is evaluated and reviewed by supervisors, and to what degree providers are accountable for providing sound interventions in accordance with the requirements set forth in this RFP.

D. Operational Plan

The applicant should describe in detail how it would address operational issues relating to the delivery of the services covered in this RFP. Specifically, the applicant should provide how it will handle new referrals, its policies and procedures for initiating services, ensuring records and reports are accounted for within timelines, how it monitors and verifies service delivery prior to and after billing claims have been submitted, and will comply with the terms of this RFP or subsequent contract. In addition, the proposal should reflect how the agency addresses concerns about its service providers, and how it resolves questions of provider conduct or performance.

If applicable, the applicant response should detail how the plan reflects past practice, or how it has been modified from the applicant's prior method of operation. If the applicant has no prior history servicing this population in Hawaii for the Departments of Education or Health, then it should demonstrate how these policies and procedures would be fully adhered to and provide some measure of verification in the proposal that they will be faithfully implemented if a contract is awarded.

E. Coordination of Services

The applicant shall demonstrate the capability to coordinate services with other agencies and resources in the community.

F. Facilities

Applicants need only to respond to this section if applicable to this service. Applicants should be clear where the services are to be provided, and if they will be delivered at a specific site. If so, this section would apply.

The applicant shall provide a description of its facilities and demonstrate its adequacy in relation to the proposed services. If facilities are not presently available, describe plans to secure facilities. Also describe how the facilities meet ADA requirements, as applicable, and special equipment that may be required for the services.

III. Project Organization and Staffing

A. Staffing

1. Proposed Staffing

The applicant shall describe the proposed staffing pattern, client/staff ratio and proposed caseload capacity appropriate for the viability of the services. (Refer to the personnel requirements in the Service Specifications, as applicable.) This should be reflected in the supporting resumes or curriculum vitae attached as part of the applicant's response. For each service type specified in the scope of services, the agency should illustrate what it considers the norm for the qualifications and level of education or experience of its providers.

2. Staff Qualifications

The applicant shall provide the minimum qualifications (including experience) for staff assigned to the program. (Refer to the qualifications in the Service Specifications, as applicable.) The applicant shall also describe how staff are evaluated not only for the mandatory background

checks, but also for competence and ability to deliver the services in conformity with the applicant's own policies and within the requirements of this RFP.

B. Project Organization

1. Supervision and Training

The applicant shall describe its ability to supervise, train and provide administrative direction relative to the delivery of the proposed services. The supervision ratios of supervisors to staff should be identified for each service activity. The applicant's ability to train its personnel should be specifically addressed. A description of the training program, how it will be enforced and implemented, and what it entails should be specifically described.

2. Organization Chart

The applicant shall reflect the position of each staff and line of responsibility/supervision (Include position title, name and full time equivalency). Both the "Organization-wide" and "Program" organization charts shall be attached to the POS Proposal Application.

IV. Service Delivery

The Service Delivery Section shall include a detailed discussion of the applicant's approach to applicable service activities and management requirements from Section 2, Item III. - Scope of Work, including (if indicated) a work plan of all service activities and tasks to be completed, related work assignments/responsibilities and timelines/schedules.

Applicant responses shall address how they will deliver each service activity detailed in Section 2. Responses must include the provision of all services listed in this RFP. Applicants may not choose to omit any of the services in their response. Failure to address all of the service activities will be deemed as non-responsive and the proposal shall be rejected.

There is some divergence in nature and possible approaches to the services requested in this RFP. Applicants should indicate in the service delivery section how they would approach EACH of the services they are responding to. A generic response to how services will be addressed will not be scored highly. This section should contemplate the methodology, program integration, and allow a reviewer to differentiate one response from another for each service (i.e., a section discussing only assessments, a section discussing only parent education/training, etc.).

Applicants shall provide services for all schools within the district(s) they propose to serve, including those schools in remote complex areas. Pay particular attention to the district's definition of geographic area. For a list of schools within each district, go to: <http://nssb.k12.hi.us/cgi-bin/clinks/main.cgi>.

Table 1, Anticipated Contract Service Hours by District, following this section, provides estimates to assist the applicant:

1. Determining unit rate; and
2. Providing minimum number of hours to be purchased by district/complex area for each level of care.

Table 1 was compiled based on data from actual units delivered in the prior fiscal year through DOE. Table 1 does not obligate the DOE to purchase the amount of services indicated, however, it should be used as a guideline of the volume of services that may be needed in each area. Applicants should use this information to determine infrastructure needs as well as cost estimates based on the information presented. Reduction in these numbers is not anticipated between the release of this RFP and June 30, 2005.

Table 1

ANTICIPATED HOURS NEEDED BY DISTRICT FOR INTENSIVE SERVICES							
Type of Service	Honolulu District	Central District	Leeward District	Windward District	Hawaii District	Maui District	Kauai District
IISC - Consultation	6500	3333	1128	4547	2030	1370	33
IISC – Individual	13,000	6600	5075	9095	5074	2750	267
IISC – Group	6500	1110	5075	1516	3044	2750	33
Skills Training – Individual	250,192	66,398	105,502	104,592	156,252	37,933	9,159
Skills Training - Group	18,455	7679	14,107	7212	1829	528	21
Parent Education/Training	1877	1487	1345	609	515	37	7
Educational Team Planning	2518	365	1138	1909	226	310	19
Court/Hearing Testimony	1252	307	51	66	6	263	2

V. Financial

A. Pricing Structure

Pricing Structure Based on Unit of Service/Negotiated Unit of Service Rate

For each district or complex area, if applicable, submit unit rate proposal using the Rate and Cost Summary Worksheet as attached in Section 5, Attachment L.

The unit rate may be subject to negotiation based on the amount of services needed.

Submit for each service, if applicable, a unit rate in providing the services delineated in Section 2, Subsection III.- Scope of Work. In proposing a unit rate,

include all direct and indirect cost. Examples of indirect costs are travel and phone communication unless specified in each level of care. In arriving at a proposed cost for each level of care, the applicant must contemplate the associated costs for serving all schools within the geographic area and any incentives or other considerations to ensure employees or subcontracted providers will serve these schools.

This RFP seeks to purchase services on an as needed basis. However, in determining capacity and to assist in evaluating the proposed rate(s), applicants to this RFP shall provide a **minimum number** of units they can deliver for **each geographic area** by level of care to assist the department in determining existing capacity.

The standard unit of service as established under this RFP is five (5) minutes. The units provided must be recorded in five (5) minute increments (i.e., 5 minutes = "1", 30 minutes = "6", 45 minutes = "9", and 1 hour = "12"), instead of hourly.

All budget forms, instructions and samples are located on the SPO website (<http://www.spo.hawaii.gov>). The following budget form(s) shall be submitted with the POS Proposal Application:

- **SPO-H-205 Budget**
- **SPO-H-205A Organization Wide Budget by Source of Funds**
- **SPO-H-205B Organization Wide Budget by Programs**
- **SPO-H-206A Personnel Salaries and Wages**
- **SPO-H-206B Personnel Payroll Taxes, Assessments and Fringe**
- **SPO-H-206C Travel Inter-Island**
- **SPO-H-206D Travel Out of State**
- **SPO-H-206E Contractual Services - Administrative**
- **SPO-H-206F Contractual Services - Subcontracts**
- **SPO-H-206G Depreciation**
- **SPO-H-206H Program Activities**
- **SPO-H-206I Equipment Purchases**
- **SPO-H-206J Motor Vehicle**

When preparing the SPO-H-205 Budget form, the first column should be used to reflect the total cost of the proposal (**i.e., total budget for all services across all districts**). Applicants should use the additional columns for each specific service they are applying for to reflect the associated costs in delivering that service (**i.e., total budget by each service specification-IISC Consultation, ST Individual, etc.**). If there is a set cost for some aspect of the service delivery, such as an office, the percentage of the cost should be assigned to each service as it relates to that cost. If an applicant is responding to more services than will fit on one form, they may continue on additional forms as needed.

Applicants should submit one copy of the most recent financial audit report (if applicable), however, the listed budget forms must be submitted for consideration.

DOE reserves the right to ask for additional information (i.e., information supporting or justifying service delivery, or monthly group rate) from each applicant. Additional information must be available for review during the proposal evaluation period.

B. Other Financial Related Materials

1) Accounting System

In order to determine the adequacy of the applicant's accounting system as described under the administrative rules, the following documents are requested as part of the POS Proposal Application (may be attached):

- A description of how applicant's accounting system is organized to handle the contract;
- A description of the applicant's billing procedures including, if applicable, the procedures in which subcontractors are paid;
- Name of individual responsible for the accounting/billing system and his/her qualifications and position description;
- Applicant's most recent program annual report (if available);
- Applicant's most recent financial audit (if available);
- Description of the internal control structure used in the accounting system; and
- If accounting work is subcontracted, please describe.

2) Information System

The applicant shall describe the organization's current type of computer hardware, software, any plans for major changes to comply with Section 2 Service Specifications, C.7. (Reporting requirements for program and fiscal data, and the capability of your staff to use the system.)

VI. Other

A. Litigation

The applicant shall disclose any pending litigation to which they are a party, including the disclosure of any outstanding judgment. If applicable, please explain.

Section 4 Proposal Evaluation

I. Introduction

The evaluation of proposals received in response to the RFP will be conducted comprehensively, fairly and impartially. Structural, quantitative scoring techniques will be utilized to maximize the objectivity of the evaluation.

II. Evaluation Process

The procurement officer or an evaluation committee of designated reviewers selected by the head of the state purchasing agency or procurement officer shall review and evaluate proposals. When an evaluation committee is utilized, the committee will be comprised of individuals with experience in, knowledge of, and program responsibility for program service and financing.

Applicants who meet all requirements based on the rating listed in this section shall be qualified to enter into a contract with DOE. ***In order to be eligible for a contract award, the applicant must receive a score of 70 points or better as detailed in this section.***

Qualified applicants will be placed on DOE's School Based Services Qualified Providers List. Services will be procured from the contracted agencies on an as needed basis, and any referrals will be determined by the applicable school student services coordinator or designated representative. Selection will be based upon various factors including the applicant's responsiveness to the RFP, applicant's past performance, quality of providers, specific expertise, and fit of the provider.

The evaluation will be conducted in three phases as follows:

- Phase 1 - Evaluation of Proposal Requirements
- Phase 2 - Evaluation of POS Proposal Application
- Phase 3 - Recommendation for Award

A. Evaluation Categories and Threshold**Evaluation Categories****Possible Points****Administrative Requirements****Pass or Rejected*****POS Proposal Application*****100 Points**

Program Overview	0 points
Experience and Capability	20 points
Project Organization and Staffing	15 points
Service Delivery	55 points
Financial	10 points

TOTAL POSSIBLE POINTS**100 Points****III. Evaluation Criteria****A. Phase 1 - Evaluation of Proposal Requirements****(1) *Administrative Requirements***

- Application Checklist
- Registration (if not pre-registered with the State Procurement Office)
- Federal Certifications
- Rate Schedule

(2) *POS Proposal Application Requirements*

- POS Application Title Page (Form SPO-H-200)
- Table of Contents
- Program Overview
- Experience and Capability
- Project Organization and Staffing
- Service Delivery
- Financial (All required forms and documents)
- Program Specific Requirements (as applicable)

B. Phase 2 - Evaluation of POS Proposal Application (100 Points)**(1) *Program Overview***

- The applicant has demonstrated a thorough understanding of the purpose and scope of the service activity.
- The goals and objectives are in alignment with the proposed service activity.

- The applicant has described how the proposed service is designed to meet the pertinent issues and problems related to the service activity.
- The applicant demonstrates a clear understanding of delivery of this service through an educational and not a clinical model.
- The applicant demonstrates a clear understanding of how to deliver these services in concert with the goals and philosophical approach of the Department of Education, and will incorporate its efforts under the Felix Consent Decree, the IDEA, Section 504, Subpart D, and the CASSP principles and integrate these efforts in assisting students to achieve school success.

Note: No points are assigned to Program Overview. The intent is to give the applicant an opportunity to orient evaluators as to the services being offered.

(2) *Experience and Capability (20 Points)*

The State will evaluate the applicant's experience and capability relevant to the proposal contract, which shall include:

- Demonstrated skills, abilities, knowledge of, and experience relating to the delivery of the proposed services in an educationally based approach and through empirically based interventions. Responses should specifically address the experience and capacity of its supervisors, or those overseeing the delivery of the services and their knowledge or expertise in the interventions or in working with this population. [7 points]
- Sufficiency of quality assurance and improvement plans (QAIP) for the proposed services, including methodology. [6 points]
- Demonstration of the applicant's specific operational plan to manage and oversee the delivery of services. [6 points]
- Demonstrated capability to coordinate services with other agencies and resources in the community. [1 point]

(3) *Project Organization and Staffing (15 Points)*

The State will evaluate the applicant's overall staffing approach to the service that shall include:

- That the proposed staffing pattern, student/staff ratio, and proposed caseload capacity is reasonable to insure viability of the services. Does the agency have sufficient staff reflected in the attached resumes or curriculum vitae to provide the amount of services proposed or does the agency have a clearly detailed and viable plan for obtaining necessary staff? [2 points]
- Minimum qualifications (including experience) for staff assigned to the program. The applicants should have detailed and demonstrated a

background review process as well as detailing their screening process for determining competency of providers to deliver interventions in line with the applicant's policies and the requirements of this RFP. [5 points]

- Demonstrated ability to supervise, train and provide administrative direction to staff relative to the delivery of the proposed services. The supervision ratios of supervisors to staff are reasonable to ensure proper oversight and that the ratios are reflective of the degree of oversight needed for the respective ability of the individual providers. The applicant's ability to train its personnel is specifically addressed and the training program, how it will be enforced and implemented, and what it entails should be specifically described. [7 points]
- Organization Chart (Approach and rationale for the structure, functions, and staffing of the proposed organization for the overall service activity and tasks). [1 point]

(4) *Service Delivery (55 Points)*

Evaluation criteria for this section will assess the applicant's approach to the service activities and management requirements outlined in the POS Proposal Application.

- For each service in this RFP, the response has clearly detailed how the attendant tasks, obligations and reporting will be addressed. Responses should be clear both in their theoretical approach to an educationally based model as well as how this will translate to actual provision of the service(s). [7 points]
- The means in ensuring prompt responses to referral, and a detailed description of the applicant's policies and procedures on how services are referred to their providers. This should also clearly demonstrate how this system will avoid service delays or keep the DOE apprised of service gaps. The response should also address how the applicant will address the provision of substitutes. [6 points]
- The response should address how the applicant will service the remote or out-lying areas in the proposed school district(s) and ensure services will be available throughout the districts. [6 points]
- For each service, it should be clearly detailed how the tasks will be accomplished in a manner that will demonstrate quality outcomes for students. [8 points]
- Evidence that the service activities are in conformity with educational best practices and are evidence based as described in peer reviewed established professional publications. [8 points]
- Demonstration of the applicant's commitment to least restrictive interventions. [6 points]
- Demonstration of the applicant's policies and procedures for identifying, addressing and managing transitions. [6 points]

- Clearly addresses how the services will be delivered collaboratively with DOE, and will focus on assisting the student's functioning in the educational system. [8 points]

(5) *Financial (10 Points)*

The DOE will evaluate the applicant's cost proposal(s) and description of the applicant's overall fiscal operations that will include:

- Degree of competitiveness of unit cost(s) as comparable to all prospective service providers. [4 points]
- Degree to which the cost proposal(s)/budget(s) justifies the proposed unit cost(s). [5 points]
- Adequacy of accounting system and infrastructure to support electronic/manual billing requirements including a demonstration of the applicant's ability to accurately track cost of related services by student served. [1 point]

C. Phase 3 - Recommendation for Award

Each notice of award shall contain a statement of findings and decisions for the award or non-award of the contract to each applicant.

Section 5 Attachments

<u>Attachment</u>	<u>Document</u>
A	Competitive POS Application Checklist
B	POS Table of Contents
C	Intensive Services Contract Quarterly Report
D	Service Verification Form
E	DOE Guidelines for Water-Related Activities
F	Student Service Plan
G	Monthly Report – Parent/Education Training
H	Sentinel Event/Incident Notification
I	DOE Standard Invoice
J	Final Report
K	Rate and Cost Summary Worksheet
L	Group Student Service Plan
M	Federal Certifications

Proposal Application Checklist

Applicant: _____

RFP No.: _____

The applicant's proposal must contain the following components in the order shown below. This checklist must be signed, dated and returned to the state purchasing agency as part of the Proposal Application. *SPO-H forms are located on the web at <http://www.spo.hawaii.gov> Click *Procurement of Health and Human Services* and *For Private Providers*.*

Item	Reference in RFP	Format/Instructions Provided	Required by Purchasing Agency	Completed by Applicant
General:				
Proposal Application Identification Form (SPO-H-200)	Section 1, RFP	SPO Website*	X	
Proposal Application Checklist	Section 1, RFP	Attachment A	X	
Table of Contents	Section 5, RFP	Section 5, RFP	X	
Proposal Application (SPO-H-200A)	Section 3, RFP	SPO Website*	X	
Registration Form (SPO-H-100A)	Section 1, RFP	SPO Website*	(Required if not Registered)	
Tax Clearance Certificate (Form A-6)	Section 1, RFP	Dept. of Taxation Website (Link on SPO website)*		
Cost Proposal (Budget)				
SPO-H-205	Section 3, RFP	SPO Website*		
SPO-H-205A	Section 3, RFP	SPO Website* Special Instructions is applicable, Section 5		
SPO-H-205B	Section 3, RFP,	SPO Website* Special Instructions, Section 5		
SPO-H-206A	Section 3, RFP	SPO Website*		
SPO-H-206B	Section 3, RFP	SPO Website*		
SPO-H-206C	Section 3, RFP	SPO Website*		
SPO-H-206D	Section 3, RFP	SPO Website*		
SPO-H-206E	Section 3, RFP	SPO Website*		
SPO-H-206F	Section 3, RFP	SPO Website*		
SPO-H-206G	Section 3, RFP	SPO Website*		
SPO-H-206H	Section 3, RFP	SPO Website*		
SPO-H-206I	Section 3, RFP	SPO Website*		
SPO-H-206J	Section 3, RFP	SPO Website*		
Certifications:				
Federal Certifications		Section 5, RFP		
Debarment & Suspension		Section 5, RFP		
Drug Free Workplace		Section 5, RFP		
Lobbying		Section 5, RFP		
Program Fraud Civil Remedies Act		Section 5, RFP		
Environmental Tobacco Smoke		Section 5, RFP		
Program Specific Requirements:				

Authorized Signature

Date

Proposal Application Table of Contents

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	A. Necessary Skills	2
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III.	Project Organization and Staffing	7
	A. Staffing.....	7
	1. Proposed Staffing.....	7
	2. Staff Qualifications	9
	B. Project Organization	10
	1. Supervision and Training.....	10
	2. Organization Chart (Program & Organization-wide) (See Attachments for Organization Charts)	
IV.	Service Delivery.....	12
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VII.	Attachments	
	A. Cost Proposal	
	SPO-H-205 Proposal Budget	
	SPO-H-206A Budget Justification - Personnel: Salaries & Wages	
	SPO-H-206B Budget Justification - Personnel: Payroll Taxes and Assessments, and Fringe Benefits	
	SPO-H-206C Budget Justification - Travel: Interisland	
	SPO-H-206E Budget Justification - Contractual Services – Administrative	
	B. Other Financial Related Materials	
	Financial Audit for fiscal year ended June 30, 1994	
	C. Organization Chart	
	Program	
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	D. Performance and Output Measurement Tables	
	Table A	
	Table B	
	Table C	
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Department of Education – Intensive Services Contract
Quarterly Report

Provider Name and Title (print) _____ Aloha Provider _____

Provider Signature _____ Date: _____ 10/03/03 _____

Student Name (print) _____ Sam Student _____

School/Program attending _____ ABC Elem _____ Student ID Number _____

Quarter _____ 1st - August to October _____

IEP Goal(s)/Objective(s) (attach separate sheet if necessary):

1. Student will increase his ability to handle frustration, excitement/anxiety and situations requiring flexibility in a calm manner.
 - a. Student will practice calming techniques (e.g. deep breathing, listening to music) through imitation following an instruction to do (e.g. “relax”, “show me calm”) 4 out of 5 opportunities presented.
 - b. Student will practice a calming technique following an instruction to do so 4 out of 5 opportunities presented.
2. Student will increase interactive play skills, develop concept of turn taking and waiting, and increase flexibility involving play activities and routines.
 - a. In structured settings, Student will demonstrate the ability to wait his turn during simple interactive activities with an adult (e.g. “Your turn,” “Whose turn is it?”) using verbal prompting.

Report of progress toward each IEP/MP Goal(s)/Objective(s) (provide specific progress in measurable terms and include data summaries)

1. Student has made progress on goal and objective #1a. see attached data sheet showing an increase over the last 2 weeks in his ability to imitate skills trainer when prompted with “show me calm”.
2. Student has shown no progress in waiting his turn (see data sheet attached), will go back to using a physical prompt and then fading physical prompt to verbal prompt.

Comments/Suggestions:

Will now work on fading the imitation prompt “show me calm” to implement objective #1b.

Note: This report is due to the IEP care coordinator within five (5) calendar days of the end of the quarter.

Department of Education – Intensive Services Contract
Quarterly Progress Summary Report

Provider Name and Title (print): _____

Provider Signature: _____

Date: _____

Student Name (print): _____

Student ID Number: _____

School/Program attending: _____

Quarter: _____

IEP Goal(s)/Objective(s) (attach separate sheet if necessary):

Report of progress toward each IEP/MP Goal(s)/Objective(s) (provide specific progress in measurable terms and include data summaries):

Comments/Suggestions:

Note: This report is due to the IEP Care Coordinator two weeks before the end of the quarter.

Service Verification Form

Provider Name: _____ Agency: _____ Month: _____

Student Name: _____ DOE Student ID #: _____

Date	School/Site (Specify location)	Type of Service	Start Time/ End Time	* Signature of school personnel/caregiver (start and end time)	Printed name of school personnel/caregiver (start and end time)

Note: Signature verifies that the service was delivered at school/home/community.

Provider Signature: _____

Print Name: _____

Date: _____

* if signature of school personnel/caregiver is different at start and end time two signatures are required

Routing Information:

Send copy to IEP/MP Care Coordinator via:

☐ Fax receipt

☐ Other _____

Date Sent _____

*** Original document to be kept on file at agency

Department of Education
Guidelines for Water-Related Activities

Regulations

1. Planning for water-related activities shall include:
 - a. Objectives clearly related to Individualized Education Program/Modification Plan (IEP/MP) goals and objectives
 - b. Clearance with authorities involved at the visitation site;
 - c. Arrangements with regard to contact persons, transportation, parental permission, supervision adequate for maintaining safety.

2. Safety provisions for water-related and non water-related activities in natural environments shall adhere to applicable Department of Education procedures and guidelines and site agency's rules and procedures and shall include:
 - a. Assessment of site to identify hazards prior to planned activity;
 - b. Specific warnings and reminders about the identified hazards, when necessary; and
 - c. Adequate supervision to meet the conditions of the activity at the time.

Planning and Preparation:

1. All water-related activities must be an extension of the standards-driven classroom instructional program or part of a DOE approved activity. Clear objectives must be established which relate to the specific IEP/MP goal and objective being worked on.
2. Staff must conform with all swimming, boating and other water-related activity protocols.
3. Parents/guardians must be informed of the inherent dangers and hazards associated with the activity. Documentation of understanding and agreement by parents/guardians must be received prior to participation and must be kept on file.
4. Parental permission forms should be reviewed prior to the activity. Forms should include student medical information and be carried on the field trip.
5. Staff must conduct an assessment of the site to identify hazards prior to the planned activity and develop appropriate safety instruction for all participants.
6. All staff and students will receive appropriate water safety instruction.
7. Supervision should be adequate and appropriate based on the needs of the student and the IEP/MP.
8. An itinerary shall be filed at the agency and shall include names of all staff/students. Changes in the activity will be immediately reported to the agency.

On the Day of the Activity/On-Site Checks:

1. Prior to leaving on the activity, students should be monitored for illness, sores, cuts, and other open wounds. Appropriate follow-up measures should be taken.
2. Upon arrival at the site, survey the area quickly to determine if conditions are "normal". Should any unanticipated hazards be identified, an assessment should be made to determine if the activity should continue. The adult staff member(s) will make that determination.

3. Field dangers and hazards, and emergency safety plans will be reviewed with staff prior to the start of the activity at the field site.
4. Staff should spend several minutes with the students observing the area, looking for unanticipated hazards or heavy surf conditions. Point out the possible hazardous areas to the students.
5. Staff will establish and indicate the boundaries of the area to the students.
6. A review of the emergency procedures will be conducted.
7. Applicable safety precautions should be observed while engaged in the activity. Warnings of hazards and reminders of safety procedures should be given throughout the activity as appropriate. One adult should remain on the beach or shoreline to observe the overall activity.
8. A first aid kit, blanket and telephone should be available at the site.
9. It is highly recommended that students protect themselves from the sun by using sunscreen and/or other form of sun protection.

Swimming Activity Guidelines:

In addition to the water-related guidelines indicated, the swimming guidelines listed below will be followed in order to assure safety of participants in swimming situations.

1. The swimming activity must conform to the Department's water-safety guidelines.
2. Depending on the nature of the swimming activity, at least one certified lifeguard or equivalent person shall be present during the activity.
3. Supervision should be adequate and appropriate based on the needs of the student and the IEP/MP.
4. In addition, at least one staff should be at the site to oversee the entire activity and will not have a student assigned to them. This staff is an "active spotter" and will assist the lifeguard or equivalent person in maintaining safety at the field site.
5. For swimming activities other than "learn to swim", all students will receive instruction and training in the water safety protocol prior to the activity. Successful completion of water-safety instruction and training for all students, including students swimming abilities, will be documented and kept on file. Students should be able to stay afloat in the water for at least one hour. This includes survival float and survival swim.
6. No student will be allowed in the water alone.
7. A water rescue device will be readily available to the staff on shore. Staff will be trained in the deployment of the water rescue device.
8. Warnings of hazards and reminders of safety procedures should be given throughout the activity as appropriate.

Boating Activity Guidelines

In addition to the water-related guidelines, the boating activity guidelines listed below will be followed in order to provide students with a safe boating activity.

1. All boating activities must be an extension of the standards-driven classroom instructional program or part of a DOE approved activity. Clear objectives must be established which relate to the specific IEP/MP goal and objective being worked on.
2. Personnel, knowledgeable in water safety, will be designated as the “safety coordinator” and located on land, boat or escort vessel to monitor canoe/boat activities.
3. The boat must be seaworthy and equipped with safety equipment, including rescue and firefighting equipment and a personal floatation device (pdf that is age appropriate) for each participant. The vessel must have a current safety check by the U.S. Coast Guard Auxiliary.
4. The boat captain must be a qualified, licensed boat operator (passed boat handling course conducted by the U.S. Coast Guard Auxiliary).
5. The agency and designated activity personnel will have a copy of the boat’s flat plan, including list of participants, destination, length of trip, expected departure/arrival times, departure/arrival sites, and alternate plans for inclement weather.
6. Safety orientation must be provided to all participants prior to and during the boating activity as appropriate.
7. Supervision should be adequate and appropriate based on the needs of the student and the IEP/MP. Agency personnel must be able to swim and know safety procedures appropriate for that activity.
8. The vessel’s designated passenger limit must not be exceeded.
9. Participants’ swimming abilities should be assessed and appropriate safety precautions taken for the boating activity. It is highly recommended that all participants wear personal floatation

devices during the boating activity. Non-swimmers MUST wear personal floatation devices.

10. Participants must wear appropriate footwear/attire. They should also protect themselves from the sun by using sunscreen and other sun protection.
11. On the day of the activity, conditions of the site and abilities/preparedness of the participants should be checked prior to the beginning of the activity. Contingency plans should be established and ready for implementation in the event that weather/ocean conditions are inappropriate on the day of the activity.

Terrestrial Activities: Hiking

While terrestrial activities, such as hiking, do not qualify as true water-related activities, there are times when hiking, students will come across small streams, ponds, lakes, etc. In these instances, it is critical that staff be mindful of and observe appropriate water-related safety precautions identified earlier. It is especially important to

1. Note trail conditions: ease of access to trail, fallen obstacles, overgrown brush and grass, stream crossings. Depth of stream, possible areas of fallen rocks, steepness of trail, forks and junctions, and crumbly rocks.
2. Check weather conditions. Recent heavy rains may have caused landslides, mud, and slippery conditions.
- 3.

Other Precautions and Guidelines for Terrestrial Activities

1. All terrestrial activities must be an extension of the standards-driven classroom instructional program or part of a DOE approved activity. Clear objectives must be established which relate to the specific IEP/MP goal and objective being worked on.
2. Staff will follow routine practices highlighted in the water-related activity guidelines, i.e. surveying the site prior to the activity, obtaining appropriate permissions, filing information with the agency, preparing all students and staff, etc.
3. Supervision should be adequate and appropriate based on the needs of the student and the IEP/MP.
4. Establish rules of conduct appropriate for the group, site, and activity. Discuss procedures to follow in case students “get lost”.
5. In addition to first aid kit and related supplies, be certain to necessary safety rescue equipment (rope) and communication device (cellular telephone) available.
6. Check with appropriate authorities regarding current trail conditions.
7. Plan and write out a “trail plan” and leave it with the agency. Include the following: 1) list of students; 2) time of arrival and

approximate departure; 3) travel time to trail head; 4) name of trail; and 5) time on trail.

8. Prepare a checklist of items to bring on the hike: daypack to carry food, water, and other articles; rain gear; sunburn protection; insect repellent; light jacket. Staff should additionally carry: extra shoe laces or cord; water proof matches; gloves; toilet paper; first aid kit; moleskin; compass; permits; pocket knife; and whistle.
9. Discuss appropriate attire for the activity. Students must wear footwear at all time. Slippers are not suitable for hiking activities.
10. Take a head count prior to the start of the hike.
11. Select a "point person" (lead hiker) and a "trail sweep" (last hiker).
12. Review emergency procedures in effect during the activity. Indicate the location of safety and first aid equipment.
13. Plan rest stops along the way (approximately five minutes for each hour of hiking).
14. Lift and lower branches that cross the trail instead of pushing them forward.
15. Do not drink water from streams and ponds.
16. Stay on the trail at all times. Avoid going close to the edge of the trail or cliffs. Short cuts may be hazardous, and false trails made by hunters, wild animals and indifferent hikers can cause confusion
17. If one becomes lost, stay put. A search party will be sent out.
18. Take a final headcount before leaving the site.

Student Service Plan: based on current IEP

DATE: _____

Part One

Student Name: _____ BD: _____ Grade: _____ School: _____

Service: _____ Frequency: _____ Location: _____

Service: _____ Frequency: _____ Location: _____

Background: (Refer to current IEP Present Levels of Performance for strengths, interests and learning style)

IEP goals and Objectives to addressed by service(s): (Refer to current IEP Goal/Objectives for condition and mastery.)

Goal/Objective	Instructional Strategies	Data Management Strategy

Student Service Plan is a DOE requirement for use of contracted services.

Student Service Plan: based on current IEP

Date: _____

Part Two

Student Name: _____ _BD: _____ Grade: _____ School: _____

LONG TERM TRANSITION (monitor/adjust) **PLAN OF INTENSIVE SERVICES** to insure student's independence of skills:

<u>Service:</u>	Frequency and Focus of face-to-face service	Timeline

Team Planning date: _____ Time: _____ Location: _____

Participants:

Classroom Teacher: _____ Room: _____

IISC: _____ Agency: _____

Student Service Plan is a DOE requirement for use of contracted services

Reminder: Whenever there is a change in the level of service, a Prior Written Notice should be completed.

Department of Education Contracted Services
Parent Education/Training Monthly Report

Provider Name and Title (print): _____

Provider Signature: _____

Date: _____

Parent(s) Name (print): _____

Student Name (print): _____

School/Program attending: _____

Month: _____

Topics/Skills worked on (attach separate sheet if necessary):

Report of progress toward each Topics/Skills worked on (provide specific progress in measurable terms):

Comments/Suggestions:

Note: This report is due to the IEP Care Coordinator on the last business day of each month.

**Incident/Sentinel Event Notification
For Department of Education Contracted Providers**

Instructions

Purpose of Form:

To be used to notify the appropriate principal, agency and District Educational Specialist when there are occurrences involving serious physical/psychological harm or risk to a student, provider reports are late or not received, provider has not rendered services/gaps in services, or any incident of noncompliance with Service Activities as specified in the IEP/MP(s).

Triggers:

- | | |
|-----------------------------|---|
| *Harm or risk to student(s) | *Missing reports |
| *Late reports | *Alleged fraud claims/discrepancy in billing claims |
| *Lack of professionalism | *Questionable use of best practices application |
| *Ethics questions | *Key deliverables not rendered |
| *System concerns | |

Routing Procedures:

- 1 Sentinel Events require immediate action and notification to the School Principal to minimize harm or risk to the student, in addition to the submittal of written Incident/Sentinel Notification. An appropriate, individualized plan of action shall be discussed, developed and implemented to ensure student safety.
- 2 Agency/School personnel should try to resolve any complaints/issues with the individual provider, school, or agency. Staff should keep formal documentation on all actions/communication.
- 3 If personnel cannot resolve the complaints/issues, then the appropriate District Educational Specialist should be contacted for assistance. The DES should keep formal documentation on all actions/communications, review, analysis, and follow-up. The DES is also responsible to send a copy of the Incident/Sentinel Notification form to the State Office SPED Administrator for statewide review and analysis.
- 4 If contract complaints/issues cannot be resolved, then the DES should forward all documentation to the appropriate District Contract Specialist for formal resolution with the school/provider agency. The Contract Specialist d DES will work to resolve complaint/issue.

**Sentinel Event/ Incident Notification
For Department of Education Contracted Providers**

Check all that apply:

- ☐ Sentinel events: Occurrences involving serious physical/psychological harm or risk there of *
- ☐ Provider reports are late or not received ☐ Services not rendered
- ☐ Non-compliance with Contract/MP/IEP ☐ System concerns: Interagency disagreements; gaps
- ☐ Other _____

Re: Agency/School: _____

Describe the incident/concerns:

Describe actions taken by school personnel/provider to resolve the concern:

Describe proposed resolution:

Describe/attach copies of pertinent documentation:

Send Notification to:

- ☐ Parent (*required for Sentinel Event) ☐ School Principal ☐ Agency, if applicable
- ☐ District Educational Specialist(Name)_____

Please Indicate: ☐ FYI, No further action requested ☐ Further Action Requested

Submitted by: _____

Print Name	Title	School/Agency
_____ Signature	_____ Date	

To be completed by the District Educational Specialist

Action taken by the DES (if requested):

Send Follow-up Notification to:

- ☐ Referral Originator _____
- Date
- ☐ Agency/School, as applicable _____
- Specify to Whom Date
- ☐ SPED Administrator (REQUIRED) _____
- Date

Completed by:

_____/_____/_____/_____

Print Name Title Signature Date

Provider Agency _____
District _____

	Students' Last Name	Students' First Name	Student ID#	School/ Location	Date Service Delivered	Level of Care *	Name of Individual Provider	Start Time	End Time	
1										
2										
3										
4										
5										
6										
7										
8										
9										
10										
11										
12										
13										
14										
15										
16										
17										
18										
19										
20										
21										
22										
23										
24										
25										

Remarks: _____

* Level of Care Codes See attached (LOC)

DOE School Based Behavioral Health Services Standard Invoice

[illegible]

Unit(s) of Service	
The units provided must be recorded in five (5) minute increments :	
Minutes	Units
5	1
10	2
15	3
20	4
25	5
30	6
35	7
40	8
45	9
50	10
55	11
60	12

INSTRUCTIONS:

1. Signature on invoice summary form is someone who has the authority to request for payment.
2. Invoice no. Is your own internal invoice/billing number. Enter your invoice number on each sheet. This will help to match the invoice detail sheet to the invoice summary sheet.
3. Invoice(s) will be rejected in its entirety if
 - a. Any information does not match with work orders
 - b. Totals do not match up
 - c. Missing information or documents
 - d. Our requirement to pay within 30 days upon receipt of the invoice ends
4. Corrected Invoice
 - a. Requirement to pay within 30 days re-starts upon the receipt of the corrected invoice.
 - b. Please sign and print name.
 - c. If you choose to use a different Invoice Number for your corrected invoice, please reference the original invoice number and date you are replacing/correcting.
5. Please submit the Invoice summary form and the supporting invoice detail form.

**DEPARTMENT OF EDUCATION
SCHOOL BASED BEHAVIORAL HEALTH SERVICES
FY _____ FINAL REPORT**

AGENCY: _____

CONTRACT NO: _____

Overview of Delivery of Services:

- Student population served (ie: age range)
- Student population identification (ie: race, geographic areas)
- How was student referred to agency
- Types of services delivered by the agency
- Average length of stay, duration of treatment

Unique Qualities of Program:

- Distinguishing characteristics of program that sets it apart from similar programs administered by other agency providers
- How was agency able to integrate services with schools, agencies, and other contracted providers

Areas Needing Improvement:

Barriers to Providing Services:

Quality Management Activities:

- Describe quality management activities during the FYXX-XX and its compatibility with District QAP plans
- The goals for FYXX-XX
- Measurable objectives which include:
 - Parent, student and school satisfaction with the services as was delivered
 - Treatment progress and outcome measures related to overall academic achievement and behavioral successes
 - Timeliness of services, including:
 - Percentage of assessments completed and submitted within the 60 day timelines as established under IDEA;
 - Percentage of monthly/quarterly treatment and progress summary reports and progress notes submitted during the required timelines as established under the contract terms; and
 - Time from authorization of service to initiation of service.

Staff Summary and Types of Services Provided:

- List of employees and subcontractors employed during FY, including their credentials and types of service each provided
- List of all new employees (hired after 07/01/XX) and volunteers showing status and completion date of mandatory background checks
- Student to Staff Ratio
- Recruitment efforts and results
- Pay scale in relation to market value
- Retention problems, issues

Staff Training:

- List of staff trainings and workshops during FY
- Number of hours employees or subcontractors spent in training

Evaluation of Staff and Subcontractors:

- Evaluation schedule, frequency
- Evaluation methodology/criteria
- Personnel involved in the evaluation process

Future Plan of Action for Next Fiscal Year:

- Anticipated personnel changes
- Proposed student to staff ratio for upcoming year
- Program improvements
- Accreditation plans
- Submit updated (most recent) agency annual report
- Submit updated (most recent) agency financial audit, if applicable
- Disclose any pending litigation to which they are a party, including disclosure of any judgments, if applicable

GEOGRAPHIC AREA:

Rate and Cost Summary Worksheet for RFP No. EDN 150-2006-XX

[illegible]

Group Student Service Plan: based on current IEP (use one plan for each student in group) **DATE:** _____

Part One

Student Name: _____ BD: _____ Grade: _____ School: _____

Service: _____ Frequency: _____ Location: _____

Background: (Refer to current IEP Present Levels of Performance for strengths, interests and learning style)

IEP goals and Objectives to be addressed by service: (Refer to current IEP Goal/Objectives for condition and mastery.)

Group activity: _____

Goal/Objective	Instructional Strategies	Data Management Strategy

Student Service Plan is a DOE requirement for use of contracted services

Group Student Service Plan: based on current IEP (use one plan for each student in group) Date: _____

Part Two

Student Name: _____ _BD: _____ Grade: _____ School: _____

LONG TERM TRANSITION (monitor/adjust) **PLAN OF INTENSIVE SERVICES** to insure student's independence of skills:

Service:	Frequency and Focus of face-to-face service	Timeline

Team Planning date: _____ Time: _____ Location: _____

Participants:

Classroom Teacher: _____ Room: _____

IISC: _____ Agency: _____

Student Service Plan is a DOE requirement for use of contracted services

Reminder: Whenever there is a change in the level of service, a Prior Written Notice should be completed.

CERTIFICATIONS

1. CERTIFICATION REGARDING DEBARMENT AND SUSPENSION

The undersigned (authorized official signing for the applicant organization) certifies to the best of his or her knowledge and belief, that the applicant, defined as the primary participant in accordance with 45 CFR Part 76, and its principals:

- (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal Department or agency;
- (b) have not within a 3-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) are not presently indicted or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) have not within a 3-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

Should the applicant not be able to provide this certification, an explanation as to why should be placed after the assurances page in the application package.

The applicant agrees by submitting this proposal that it will include, without modification, the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion--Lower Tier Covered Transactions" in all lower tier covered transactions (i.e., transactions with sub-grantees and/or contractors) and in all solicitations for lower tier covered transactions in accordance with 45 CFR Part 76.

2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

The undersigned (authorized official signing for the applicant organization) certifies that the applicant will, or will continue to, provide a drug-free workplace in accordance with 45 CFR Part 76 by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about--
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a) above;
- (d) Notifying the employee in the statement required by paragraph (a), above, that, as a condition of employment under the grant, the employee will--
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central

point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d) (2), with respect to any employee who is so convicted--
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

For purposes of paragraph (e) regarding agency notification of criminal drug convictions, the DHHS has designated the following central point for receipt of such notices:

Office of Grants and Acquisition Management
 Office of Grants Management
 Office of the Assistant Secretary for Management and Budget
 Department of Health and Human Services
 200 Independence Avenue, S.W., Room 517-D
 Washington, D.C. 20201

3. CERTIFICATION REGARDING LOBBYING

Title 31, United States Code, Section 1352, entitled "Limitation on use of appropriated funds to influence certain Federal contracting and financial transactions," generally prohibits recipients of Federal grants and cooperative agreements from using Federal (appropriated) funds for lobbying the Executive or Legislative Branches of the Federal Government in connection with a SPECIFIC grant or cooperative agreement. Section 1352 also requires that each person who requests or receives a Federal grant or cooperative agreement must disclose lobbying undertaken with non-Federal (non-appropriated) funds. These requirements apply to grants and cooperative agreements EXCEEDING \$100,000 in total costs (45 CFR Part 93).

The undersigned (authorized official signing for the applicant organization) certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the under-

signed, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

- (2) If any funds other than Federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. (If needed, Standard Form-LLL, "Disclosure of Lobbying Activities," its instructions, and continuation sheet are included at the end of this application form.)
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

4. CERTIFICATION REGARDING PROGRAM FRAUD CIVIL REMEDIES ACT (PFCRA)

The undersigned (authorized official signing for the applicant organization) certifies that the statements herein are true, complete, and accurate to the best of his or her knowledge, and that he or she is aware that any false, fictitious, or fraudulent statements or claims may subject him or her to criminal, civil, or administrative penalties. The undersigned agrees that the applicant organization will comply with the Public Health Service terms and conditions of award if a grant is awarded as a result of this application.

5. CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

Public Law 103-227, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, early childhood development services, education or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law also applies to children's services that are provided in indoor facilities that are constructed, operated, or maintained with such Federal funds. The law does not apply to children's services provided in private residence, portions of facilities used for inpatient drug or alcohol treatment, service providers whose sole source of applicable Federal funds is Medicare or Medicaid, or facilities where WIC coupons are redeemed.

Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 for each violation and/or the imposition of an administrative compliance order on the responsible entity.

By signing the certification, the undersigned certifies that the applicant organization will comply with the requirements of the Act and will not allow smoking within any portion of any indoor facility used for the provision of services for children as defined by the Act.

The applicant organization agrees that it will require that the language of this certification be included in any subawards which contain provisions for children's services and that all subrecipients shall certify accordingly.

The Public Health Services strongly encourages all grant recipients to provide a smoke-free workplace and promote the non-use of tobacco products. This is consistent with the PHS mission to protect and advance the physical and mental health of the American people.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED